DOCUMENT RESUME

ED 335 849 EC 300 591

AUTHOR Goldman, Harvey; Intriligator, Barbara A.
TITLE A Profile of State Interagency Efforts for Children with Special Needs and Their Families.
INSTITUTION Georgetown Univ. Child Development Center, Washington, DC.; ICA, Arlington, VA.
SPONS AGENCY Health Resources and Services Administration (DHHS/PHS), Rockville, MD. Bureau of Maternal and Child Health and Resources Development.
PUB DATE Jul 88
NOTE 102p.; For a related document, see EC 300 592.
PUB TYPE Reports - Research/Technical (143)

EDRS PRICE MF01/PC05 Plus Postage.
DESCRIPTORS *Accessibility (for Disabled); *Agency Cooperation; Case Studies; Children; Coordination; Decision Making; *Delivery Systems; *Disabilities; *Early Intervention; Educational Legislation; Federal Legislation; Local Government; Preschool Education; Public Agencies; Residential Programs; Staff Role; *State Government; State Programs
IDENTIFIERS Education of the Handicapped Act 1986 (Part H)

ABSTRACT

This report presents findings from a study of the ways in which interagency efforts by State and local government agencies influence accessibility of services for children with handicapping conditions and their families. The research was designed as a case study of a mid-Atlantic State that has a wide range of demographic characteristics. Thirty state personnel involved with planning or programs for children with handicaps and their families were interviewed, and information from documents and meetings was examined. The organizational conditions and interpersonal relationships that determine whether an interagency effort is cooperative, coordinative, or collaborative are described in terms of the following features: interagency objective, interagency policies, interagency structure, resources, loyalty to the interagency effort, procedures to establish agreement, decisionmaking processes, and roles of key personnel. Three state interagency committees were studied: the State Coordinating Council for Residential Placement, the Interagency Planning Committee for Children, and the Interagency Coordinating Council. The report concludes with a discussion of the implications of study findings for interagency efforts associated with Part H of Public Law 99-457. (Nine references) (JDD)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)
☑ This document has been reproduced as received from the person or organization originating it.
☐ Minor changes have been made to improve reproduction quality.
• Points of view or opinions stated in this document do not necessarily represent official OERI position or policy.

ED335849

A PROFILE OF STATE INTERAGENCY EFFORTS FOR CHILDREN WITH SPECIAL NEEDS AND THEIR FAMILIES

Prepared by

Harvey Goldman and Barbara A. Intriligator

ICA
4212 South 32nd Street
Arlington, VA 22206
(703) 931-6809

July 1988

This research was sponsored by the Bureau of Maternal and Child Health and Resources Development, U.S. Department of Health and Human Resources and was conducted as a subcontract to the National Center for Networking Community Based Services, Georgetown University Child Development Center.

EC 300591

BEST COPY AVAILABLE

TABLE OF CONTENTS

	Page
EXECUTIVE SUMMARY	i
DESIGN OF THE STUDY	1
Context	1
Intent of The Study	2
Research Procedures	3
FEATURES OF INTERAGENCY EFFORTS	6
Cooperation	8
Coordination	11
Collaboration	17
The Three Types Of Interagency Efforts	23
Administrative Issues	25
Special Features Of Government Agencies	29
SITE FOR THE STUDY	31
STATE INTERAGENCY EFFORTS	35
State Coordinating Council	35
Description	35
Nature Of The Interagency Effort	37
Summary	43
Interagency Planning Committee For Children	45
Description	45
Nature Of The Interagency Effort	51
Summary	59
Interagency Coordinating Council	61
Description	61
Nature Of The Interagency Effort	64
Summary	75
IMPLICATIONS FOR PART H INTERAGENCY EFFORTS	78
REFERENCES	95

EXECUTIVE SUMMARY

This report presents findings from the first stage of a study of the nature of State interagency efforts on behalf of children with special needs and their families. The research is sponsored by the Bureau of Maternal and Child Health and Resources Development, U.S. Department of Health and Human Services, and was conducted as a subcontract to the National Center for Networking Community Based Services at the Georgetown University Child Development Center.

Intent Of The Study

The intent of the study was to examine the ways in which interagency efforts by State and local government agencies influence accessibility of services for children with handicapping conditions and their families. The following issues are addressed: [1] What is the nature of interagency efforts on behalf of children with handicaps at the State level?; [2] How do interagency planning and actions at the State level impact on interagency planning and actions at the local level?; [3] What is the nature of interagency efforts on behalf of children with handicaps at the local level?; and [4] To what extent do interagency interactions at the local level result in improved accessibility to services for children with handicaps and their families?

Site For The Study

The research was designed as an in-depth case study of a mid-Atlantic State that has 24 local political jurisdictions with a wide range of demographic characteristics. They range from densely populated urban jurisdictions to large and medium size suburban localities to small sparsely populated rural areas. The State was chosen for the study because of its long standing progressive attitudes toward providing services to persons with handicapping conditions and because of the value it places on interagency efforts to deal with issues related to that population.

These attitudes have been expressed through the development by State agencies and executive offices, and their local counterparts, of a wide range of programs for persons with disabilities and their families. The value that the State places on interagency efforts was in part translated into the establishment of at least three formal committees charged with the responsibility of improving the provision of integrated services and programs for this targeted population. The development and operation of these three State Interagency Committees was the focus of this report which presents a profile of State interagency activities. This information is now being used to structure data collection activities in selected local jurisdictions in the State.

Research Procedures

This study is to be conducted in two stages. In stage one, selected personnel from all of the major State Departments and Executive Offices that are involved both directly and indirectly with planning or programs for

children with handicaps and their families were interviewed. Respondents held positions of responsibility for policy, program development and/or coordination of services for this targeted population. Thirty persons were interviewed between November 1987 and April 1988. In addition, participants were involved in verification of the data both through attendance at a meeting scheduled to enlist feedback about the preliminary report and through a series of phone conversations and meetings with persons who were unable to attend.

Several documents were also reviewed, including: State agency policies and Executive Orders; State and federal legislation; interagency plans; descriptions of interagency programs sponsored by the governmental units; information and minutes of State interagency committees, subcommittees and task forces; and descriptions and budget analyses of single agency programs for children with handicaps and their families. Where possible, the researchers attended meetings of the State Interagency Committees under study. Information from these documents and meetings was used both to verify data provided by respondents and to develop this report

Features of Interagency Efforts

The framework used for analysis of the three State Interagency Committees was developed by ICA and represents a compilation of data from a series of studies and technical assistance activities conducted over the past decade in order to identify critical factors that contribute to successful interagency relationships.

Interagency efforts can be characterized as cooperative, coordinative or collaborative. Each of these interagency types represents an increasing amount of interdependence on the part of single agency participants. Planners make decisions about which type of interagency arrangement they will use depending on the specific purpose that the interagency effort is intended to accomplish. In brief, collaboration may not always be the most appropriate strategy for agencies to adopt; depending on a set of circumstances that are described in detail in report, successful interagency activities may also be accomplished using either a cooperative or a coordinative approach.

The organizational conditions and interpersonal relationships that characterize each interagency type are distinctly different. They are described in this study in terms of the following features: [1] interagency objective; [2] interagency policies; [3] interagency structure; [4] resources; [5] loyalty to the interagency effort; [6] procedures to establish agreement; [7] decision making processes; and [8] roles of key personnel. The three State Interagency Committees were examined to determine the extent to which the nature of each interagency effort is appropriate for the purpose toward which it is directed.

Findings

The three State Interagency Committees under study were: the State Coordinating Council for Residential Placement (SCC); the Interagency Planning Committee for Children (IPCC); and the Interagency Coordinating Council (ICC).

The SCC was established in 1982 by Executive Order as a part of State implementation of P.L. 94-142 in order to provide an interagency vehicle through which State agencies could make effective residential placements. Its current membership includes the State Department of Education (SDE), the Department of Health and Mental Hygiene (DHMH), the Department of Human Resources (DHR) and the Juvenile Services Administration (JSA). The SCC operates as almost a classic coordinative interagency arrangement. Agency members of the Council express satisfaction with its ability to accomplish its interagency objective successfully.

The IPCC was appointed in 1985 by the Governor to streamline State services for children with special needs through the development of interagency efforts. This mission was very broad and required major changes in the current operations of participating units if it was to be accomplished successfully. Initially, IPCC activities were very energetic and a comprehensive Interagency Plan was submitted by the Committee to the Governor in 1986. At the present time, the IPCC is relatively inactive; a partial explanation for this inactivity may be found in the nature of the interagency features of this Committee. While the IPCC was charged with a mission that required collaboration, the organizational conditions under which it now operates and the nature of the interpersonal relationships of Committee members are best characterized as approximating either cooperative or coordinative interagency efforts.

The ICC was established in 1987 by Executive Order as a part of State planning for implementation of Part H of P.L. 99-457 in 1992. Council members include representatives of the four major State agencies (SDE, DHMH and DHR), as well as the Governor's Office For Children and Youth (GOC&Y), private providers, advocates and parents. Its purpose is to advise the Lead Agency (i.e., GOC&Y) in the planning of a comprehensive coordinated system of delivery of early intervention services to infants and toddlers with handicaps and their families. In effect, the ICC is actively pursuing its mission; the actions taken by the Council address both issues specific to the legislation and the development of procedures that will define the nature of the interagency effort. Since the ICC is only nine months old, it is premature to attempt to classify it as a specific type of interagency effort. The interagency objective for which it is responsible clearly requires a collaborative interagency effort. At this point in time, the ICC appears to be developing the organizational conditions and interpersonal relationships that will enable collaboration to occur. Continued attention to those interagency features that will lead to collaboration is needed. As the ICC matures (in terms of operation), the specific needs that will have to be satisfied to ensure collaboration will become more evident.

Implications For Part H Interagency Efforts

A number of substantive issues have emerged from stage one of the study that have important implications for interagency efforts associated with Part H of P.L. 99-457. First, collaboration is not always an appropriate interagency strategy; more often than not a cooperative or coordinative effort will suffice to accomplish a particular interagency objective. Second, successful interagency efforts are dependent on the extent to which planners

create organizational conditions and interpersonal relationships suitable to accomplish the interagency objective. Third, effective State interagency committees have the authority to make policy decisions about the interagency effort; confining the committee to an advisory role seriously impairs its ability to plan and develop integrated service delivery systems. Fourth, when implementation of legislation requires considerable agency interdependence, selection of a lead agency is of primary importance and should include an assessment of that agency's capacity and willingness to facilitate State-wide interagency planning and actions. Fifth, the effectiveness of State interagency planning and actions is largely dependent upon the development of appropriate relationships between Part H interagency councils and the lead agencies in each State. Finally, the nature of State interagency planning and actions will influence the effectiveness of interagency activities in local jurisdictions.

These issues have the following implications for State level planning for implementation of Part H:

- o State Part H interagency councils will need to be configured as collaborative interagency efforts.

- o State Part H planners will need to devote immediate attention to the creation of organizational conditions that foster successful interagency collaboration at the same time as they address more substantive program issues.

- o Part H interagency councils should be assigned a policy role in the development of State-wide coordinated systems of early intervention services for infants and toddlers with handicaps and their families.

- o State lead agency responsibility should be assigned directly to the Part H interagency council. By extension, federal Part H planning grants should be administered by the council.

- o Establishing a lead agency other than the council enhances the difficulties of creating conditions for collaboration. In such cases, the relationship between the lead agency and the Part H interagency council must be clearly delineated. The likelihood of conflict between the lead agency and the council will be reduced if policy authority is shared by the lead agency and the council.

- o The ways in which State interagency efforts can influence accessibility of services at the local level need to be defined early on and made an integral part of the State Part H planning process.

DESIGN OF THE STUDY

Context

With the passage of P.L. 99-457, all States are required to deliver comprehensive coordinated services to infants and toddlers with handicaps and their families. The legislation provides for a period of planning which will enable the States to develop strategic plans for how best to offer these services. The State chosen as the site for this study has been providing educational services to infants and toddlers with handicaps since 1980 and is currently engaged in planning for eventual full implementation of Part H of P.L. 99-457 in 1992.

State planning activities necessarily occur in conjunction with local jurisdictions, where most services to children with special needs are provided. With relatively few exceptions, infants and toddlers with handicaps and their families contact professional personnel responsible for determining, coordinating and delivering services in local agencies and facilities, such as schools, regional and community health agencies, local social services offices, hospitals, and physicians' offices.

Moreover, children with handicaps and their families often have multiple and interacting needs that must be addressed through the provision of a continuum of services. At present, this broad array of services is not offered by a single agency or organization. Rather, parents need to request these services from a number of different agencies and professionals. These agencies tend to have different eligibility requirements and intake systems that require parents to have an extensive understanding of many different bureaucratic procedures and requirements in order to obtain all needed services for their children.

It was to deal with these inter-related problems that P.L. 99-457 included a mandate for the development of State interagency efforts to deliver a continuum of services to infants and toddlers with handicaps and their families. It is generally agreed that in order to accomplish this goal an unprecedented degree of interagency planning and actions will be required by both State and local jurisdictions.

Intent of the Study

This study is an examination of the extent to which interagency activities at the State and local levels facilitate access to services for children with handicaps and their families. The following issues are addressed:

1. What is the nature of interagency efforts on behalf of children with handicaps at the State level?

2. How do interagency planning and actions at the State level impact on interagency planning and actions at the local level?

3. What is the nature of interagency efforts on behalf of children with handicaps at the local level?

4. To what extent do interagency interactions at the local level result in improved accessibility to services for children with handicaps and their families?

Interagency efforts can be characterized as cooperative, coordinative or collaborative. Each of these interagency types represents an increasing amount of interdependence on the part of single agency participants. Planners make decisions about which type of interagency arrangement they will use depending on the specific purpose that the collective effort is intended to accomplish. In brief, collaboration may not always be the most appropriate strategy for agencies to adopt; depending on a set of circumstances that are described in detail in the section of this report entitled "Features of

Interagency Efforts," successful interagency activities may also be accomplished using either a cooperative or coordinative approach. In this study, three State Interagency Committees are examined to determine the extent to which the nature of each interagency effort is appropriate for the purpose toward which it is directed.

Accessibility is a multi-faceted concept. When broken down into relevant parts, level of accessibility can be determined by: [a] the extent to which all eligible clients are identified by service providers; [b] the extent to which families of clients are made aware of the services available to them; [c] the degree to which diagnostic and intake systems of State and local service units facilitate obtaining appropriate services; [d] the extent to which the Individual Family Service Plan (IFSP) reflects a true multi-disciplinary effort to address the concerns of clients and their families; [e] the extent to which approval for State or federal assistance is timely and consistent between agencies; and [f] the adequacy of monitoring and follow up activities to insure the appropriateness and effectiveness of the IFSP.

Research Procedures

This research is to be conducted in two stages. This report presents findings from the first phase of the study which focussed on the development of a profile of interagency planning and actions at the State governmental level.

Stage One: The researchers first interviewed selected personnel in all of the major State Departments and Executive Offices that are involved with planning or programs for children with handicaps and their families, including: the Department of Health and Mental Hygiene (DHMH); the State Department of Education (SDE); the Department of Human Resources (DHR); the

Juvenile Services Administration (JSA); the Governor's Office for Children and Youth (GOC&Y); and the Office For Handicapped Individuals (OHI). Respondents held positions of responsibility for policy, program development and/or coordination of services for the targeted population. Participants were asked to recommend other persons whom they felt played key roles in the delivery of programs and services to children with handicaps and their families; to the extent possible, practically all of these individuals were also interviewed.

In addition, several documents were reviewed. These materials were given to the researchers by participants as examples of interagency efforts in which their units were engaged or as background information about the Departments and Offices involved in providing services to children with handicaps and their families. These materials included: State agency policies and Executive Orders; State and federal legislation; interagency plans; descriptions of interagency programs sponsored by the governmental units; information about minutes of State Interagency Committees, subcommittees and task forces; and descriptions and budget analyses of single agency programs for children with handicaps and their families. Where possible, the researchers attended meetings of the State Interagency Committees. Data from these documents and meetings were used both to verify information provided by respondents and to develop this report.

To provide a focus for the data gathering effort, attention was directed to the activities of three formal State Interagency Committees concerned with services for children with handicapping conditions and their families. These three Committees represent initiatives to coordinate services for these special populations within, between and among the State Agencies and Executive Offices. They include:

- The State Coordinating Committee on Services to Handicapped Children, later renamed the State Coordinating Council for Residential Placement (SCC), established in 1978 by Executive Order as a part of State implementation of P.L. 94-142.

- The Interagency Planning Committee for Children (IPCC), established in 1985 by the Governor to streamline services for children with special needs through interagency efforts.

- The Interagency Coordinating Council (ICC), established in 1987 by Executive Order as a part of State planning for the implementation of Part H of P.L. 99-457.

Data gathered from document analysis, attendance at committee meetings and interviews were synthesized into this report depicting the nature of interagency planning and actions at the State level.

Stage Two: The next phase of the study will involve data collection in selected local jurisdictions in an effort to examine [a] the nature of interagency planning and actions at the local level; [b] the influence of State level interagency efforts on interagency planning and actions at the local level; and [c] the impact of such interagency efforts on accessibility of services for children with handicaps and their families.

All of the geographic regions in the State are included in this representative sample. In each local jurisdiction, selected individuals from the local equivalents of State Agencies and Executive Offices involved with children with handicaps and their families will be interviewed. In addition, parents of children with handicaps and private service providers will be interviewed. Available documents and materials will also be analyzed as a means of verifying interview data and obtaining background information. Profiles of each local jurisdiction will be developed as well as an analysis of interactions between State and local interagency efforts and their influence on accessibility of services.

The intent of these data gathering activities is to develop a total picture of the extent to which State interagency planning and actions influence local interagency efforts, and to ascertain how these plans and actions influence accessibility of services for children with handicaps and their families.

FEATURES OF INTERAGENCY EFFORTS

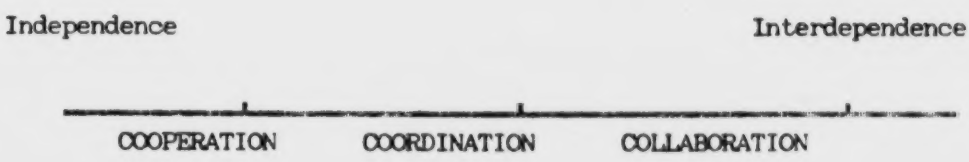
It is relatively common for words to be used rather loosely in our society; words are dispensed with the belief that others share similar definitions and understandings of the concepts to which reference is made. When, as is often the case, those shared understandings do not exist, the result is frequently confusion and distrust. This "frame of reference" problem is much more common than is generally realized. Examples of some terms for which there are a variety of conceptual understandings are: professional; intelligence; effectiveness; supportive; authority and participation.

A similar conceptual problem exists with respect to the term collaboration. Typically, the terms cooperation, coordination and collaboration are used interchangeably in describing interagency activities. In this study these terms are used to describe distinctly different types of interorganizational relationships.

In reality, there are a number of different approaches that may be adopted in establishing interorganizational relationships. These approaches can be depicted along a continuum ranging from limited single agency dependence on other agencies to accomplish a specific objective, to a state of interdependence among agencies engaged in accomplishing a common objective. This continuum is depicted in Figure 1 below.

Figure 1

Interdependence In Interagency Efforts



Cooperation is an interagency effort that requires the least amount of interdependence between individual agencies. Collaboration, on the other hand, requires the greatest amount of agency interdependence.

There are a number of different organizational and interpersonal issues that cause single agencies to move from independent modus operandi to the adoption of interdependent strategies to accomplish common objectives. Cooperation, coordination and collaboration are characterized by different organizational conditions and interpersonal behaviors. The discussion of each interagency type that follows describes the characteristics of the three types of interagency efforts (i.e., cooperation, coordination and collaboration) according to the following features: [1] interagency objective; [2] interagency policy; [3] interagency structure; [4] resources; [5] loyalty to the interagency effort; [6] procedures for reaching agreement; [7] interagency decision making; and [8] personnel roles.

Typically, interagency efforts do not conform completely to any of the three prototypes (e.g., cooperation, coordination and collaboration); rather when they work, they tend to approximate most of the organizational conditions and interpersonal features associated with a particular type.

Cooperation

Cooperation is identified as occurring when an agency perceives that it can better accomplish one of its own objectives by working with other agencies that have a similar objective to accomplish. These agencies decide to undertake a collective activity to meet their common objective because it is in each of their own best interests to do it that way.

Interagency objectives which are achieved through cooperation usually have a narrow focus and require minimal or only short-term commitment of the agencies and personnel involved. An example of an objective which requires cooperation to accomplish is the organization of a conference jointly sponsored by more than one organization or unit. Commitment to the interagency effort is over when the conference is over.

In effect, cooperative interagency efforts do not disrupt or interfere with standard operating procedures in the participating organizations. Therefore, there is no need for agencies to create any ***interagency policy*** about the effort. Moreover, existing agency policies will not need to be modified. In planning a conference, agencies will basically follow their regular procedures for running conferences, although decisions about the content or speakers or location may be made with their partners in the interagency activity. The planning period may be as brief as a few weeks or as long as a year, but rarely longer.

By extension, unlike more interdependent forms of interagency efforts (e.g., coordination or collaboration), agencies do not need to create a new ***interagency structure*** to accomplish their common objective. The conference itself is a clearly definable objective and the need for interagency action is

complete when the conference is over and the administrative actions which follow have been taken.

The nature and source of ***resources*** provided to support the interagency relationship is another feature that discriminates among the three kinds of interagency arrangements. Appropriate agency resource contributions to interagency efforts may include personnel, programs, facilities and monies. Cooperative interagency arrangements are supported with discretionary funds which remain within the control of the individual agencies. For example, participating agencies contribute resources to the joint conference on an as-needed basis through a process of on-going negotiation. Additional funds are provided only to the extent that individual agencies are willing to do so when requested.

In cooperative interagency arrangements, no ***loyalty to the interagency effort*** is required. Rather, participant loyalty is to the individual agencies. Because the collective objective is confined to a narrowly defined activity, conflicts about legitimate single agency prerogatives and appropriate interagency responsibilities rarely surface. Therefore, cooperative efforts work well without the development of procedures for ***establishing agreement*** among participating agencies. The need to resolve conflicts over territorial issues becomes increasingly more important as interagency efforts become more and more interdependent. On the other hand, conference planning can be successfully completed without participant loyalty to the interagency effort and without establishing conflict resolution procedures.

Interagency decision making is another key factor in the development of successful interagency relationships. In cooperative arrangements,

interagency decisions are appropriately made by the single agencies. The situation is constructed such that single agency needs take priority over interagency needs. The decision to jointly sponsor a conference can be made through normal organizational decision making processes. Individuals working on the conference are empowered to act only within the framework of decisions made within their individual agencies. In addition, little or no need for information sharing among agencies exists in order to plan and run the conference; each agency simply shares information about its own organizational needs that the conference is intended to satisfy.

Agency *personnel* involved in the three types of interagency efforts are required to play different *roles*. Cooperative interagency efforts are carried out by personnel whose primary function is to represent their individual agencies' interests. They are assigned responsibilities for accomplishing the interagency task on a short-term basis. Their supervisors usually consider that their involvement in the interagency activity is a part of their regular assignment.

In sum, little creative effort is required to plan and carry out a cooperative interagency effort such as a joint conference. Rather, it is largely an administrative process of deciding how best to meet previously established organizational needs within the budgetary and time constraints which prevail. Essentially, single agency needs are being met using a cooperative administrative process that involves sharing the work and benefits with another unit or organization. For these reasons, joint conference planning and implementation can best be accomplished using a cooperative interagency effort. Cooperation is an important interagency arrangement that

may be used quite successfully in the accomplishment of interagency objectives that require minimal amounts of interdependence. Table 1 below depicts the features of cooperative interagency efforts:

Table 1

Features of Cooperative Interagency Efforts

OBJECTIVE:	the interagency objective has a narrow focus, and is short-term
POLICY:	no interagency policies are needed
STRUCTURE:	no new interagency structure is required; specific agency personnel are assigned to achieve the objective
RESOURCES:	supported with discretionary funds which remain within the control of the individual agencies
LOYALTY:	no loyalty to the interagency objective is required; loyalty is to the individual agencies
AGREEMENT:	no major single agency territorial issues arise; agreement is not an issue
DECISION MAKING:	interagency decisions are made by the single agencies; individual agency needs are primary; interagency needs are secondary
PERSONNEL ROLES:	carried out by personnel whose primary function is to represent their individual agencies' interests and who are assigned responsibility for the interagency effort on a short-term basis

Coordination

Coordination occurs when two or more agencies agree to formally enter into an interorganizational arrangement to accomplish some common objective. Coordinative interagency efforts are often appropriate when individual agencies are required to work together by some administrative office with higher authority, or as a result of regulations associated with federal, State or local policy mandates. Coordination may also be used successfully when

agencies decide voluntarily that a common objective can not be accomplished independently within existing budgetary and time constraints, and/or that each is unwilling to accept the internal problems which would accompany any concentrated effort to reallocate resources for that purpose. Whether the motivation for collective action is mandated or voluntary, primary interest, as was the case with cooperation, is directed toward addressing the needs and concerns of individual agencies through the use of a coordinative administrative strategy.

Interagency objectives that are best accomplished with a coordinative interagency effort tend to be broad issues that require considerable commitment of the agencies and personnel involved. These objectives are usually more complex than those best served by a cooperative interagency effort. An example of coordination takes place when a mental health agency, an education agency and a juvenile services agency, which have responsibility for providing services to a targeted population such as high school drop-outs, agree that by working together each is likely to be more effective in delivering services to this clientele. In addition, they agree that the interests of their respective agencies are likely to be better served by adopting a coordinative strategy for reducing the number of school leavers. Commitment to this effort is likely to be sustained over a period of years.

Coordinative interagency arrangements require a moderate departure from standard operating procedures by participating agencies. To accomplish the collective objective, agencies must make a formal commitment to the interorganizational activity. This often entails changes in the ways that single agencies provide services or programs that accommodate the special needs of the population targeted for services by the interagency effort. As a

result, there is a need to develop ***interagency policies*** that will provide guidance to personnel involved in the coordinative interagency effort.

In addition, successful coordination requires the development of a new ***interagency structure*** that is used by the participating agencies to administer the interorganizational arrangement. It often takes the form of a specially appointed interagency committee whose members represent the needs of their individual agencies as they develop and monitor the interagency effort. In addition, staff are often assigned directly to the new unit to carry out the interagency objective. As was the case with cooperation, primary loyalty and responsibility of staff is to the single agencies rather than the interagency effort.

Once the interagency objective is accomplished through the coordinative effort, the interagency structure is no longer needed and is usually dissolved. In addressing the problem of reducing the number of high school drop-outs, the agencies in our example would need to appoint an interagency committee to oversee the interagency effort. They would also have to modify their individual outreach activities to the targeted population. Unlike cooperative efforts, both the development of interagency policy and the creation of an interagency structure are demonstrations of the degree of formality that individual agencies attach to a coordinative interagency effort.

Because coordination usually requires a larger ***resource*** commitment than cooperative interagency efforts, single agencies need to dedicate funds from their separate agency budgets to the interorganizational effort. These resources remain within the control of the individual agencies. Participating agencies generally provide resources to support those aspects of the effort

for which they are individually responsible and also usually bear some of the costs relative to maintaining coordination. Agency personnel working on the coordinated activity are ordinarily empowered to support those decisions made within the framework of the coordinated activity as long as they do not exceed existing budgetary and policy limitations. The amount of resources that each agency contributes to the coordinative interagency effort is reassessed annually, primarily on the basis of single agency needs and concerns.

Coordinated interagency efforts require some ***loyalty*** of the participating agencies ***to the interagency effort***; however, primary loyalty, as was the case with cooperation, rests with the individual agencies. Participating units become involved in the coordinative interagency arrangement and agree to the need to have their personnel work in tandem because accomplishment of the interagency objective results in improved individual agency performance.

Disagreements about areas of responsibility typically arise in coordinative interagency efforts; therefore, procedures to ***establish agreement*** about territorial issues need to be developed. Successful coordinative arrangements use "majority rule" voting processes to resolve these kinds of conflicts. In the coordinative effort to reduce the number of high school drop-outs, it is likely that participating agencies will attempt to assign financial responsibility for overlapping services to their partner agencies. Procedures need to be established to obtain agreement about how to resolve conflicts about this recurring problem. These issues can be successfully resolved using "majority rule" voting procedures to obtain agreement.

Representatives of participating agencies in the coordinative interagency activity must engage in extensive information sharing with regard

to the specific objective that is sought; that is, each agency must make certain that its efforts do not interfere with those of other participating agencies. Also, each agency must be supportive of the activities of the other agencies. Information sharing about these issues begins with the members of the coordinating committee (i.e., the interagency structure developed to monitor the coordinative interorganizational relationship). Moreover, such information sharing facilitates the development of effective decision making processes in the coordinative interagency effort.

For example, the overall objective of reducing the number of high school drop-outs is not easily defined and assessed. Each of the participating agencies is already working with these clients independently. They will need to share considerable information about what they wish to continue to do independently and about what they will pursue in the coordinative interagency arrangement. Agencies will need to vote to decide which collective activities will be pursued. When these agreements are reached, activities designed to coordinate services for prevention of an increase in high school drop-outs can be undertaken.

Decisions to participate in a coordinated effort are usually made through routine organizational processes. Once the decision is made, agencies will need to create interagency decision processes that facilitate resolution of issues related to the collective activities, including which personnel will be involved, what decision making latitude will be granted, and how resources will be used. ***Interagency decision making*** in coordinative interagency efforts is a much more critical issue than it is in cooperative arrangements. In successful coordinated interagency activities, interagency decisions must remain consistent with single agency decisions; as is the case with

cooperation, the needs of the interagency effort are considered secondary to the needs of the individual agencies.

The *roles of personnel* assigned to the coordinating committee are more complex than they were in cooperative interagency efforts. Interagency policy issues are decided by personnel whose primary function is to represent their individual agencies' interests in the coordinative arrangement. At the same time, these individuals often become invested in seeing that the interagency objective is accomplished. Therefore, they find themselves in the position of also having to represent the concerns of the interagency effort to their home organizations. Often, these two roles are not compatible. It is not unusual to find single agency representatives on an interagency committee to reduce the number of high school drop-outs, for example, serving as advocates of the interagency activity and seeking additional contributions from their home agencies for the coordinated interagency effort. Finally, staff may be assigned directly to the interagency effort in order to carry out its coordinative activities.

In sum, within the framework of coordinated interagency relationships, creative efforts are usually directed toward implementation activities; therefore, procedures for working together on a continuing basis must be established. Coordination is a formal activity requiring time, resources and commitment by all participating agencies. It takes longer to accomplish than cooperation, but has the potential to provide more benefits to the individual agencies.

Table 2 below depicts the features of coordinated interagency efforts:

Table 2

Features of Coordinative Interagency Efforts

OBJECTIVE:	the interagency objective has a broad focus; it is intermediate-term or long-term
POLICY:	interagency policies are dictated by single agency policies
STRUCTURE:	requires the development of a new interagency unit; also, staff may be assigned directly to the new unit
RESOURCES:	supported with dedicated funds from the individual agencies which remain within the control of the individual agencies
LOYALTY:	primary loyalty is to the individual agencies; secondary loyalty is to the interagency effort
AGREEMENTS:	disagreements about territorial issues are resolved through "majority rule" voting processes
DECISION MAKING:	interagency decisions are consistent with single agency decisions; single agency needs are primary; the needs of the interagency effort are secondary
PERSONNEL ROLES:	policy issues are decided by committee members whose primary function is to represent their individual agencies' interests, but who also demonstrate a commitment to the interagency objective

Collaboration

Collaborative interagency arrangements require extensive interdependence among individual agencies. They occur only when two or more single agencies go beyond short-term or intermediate interests and focus instead on the requirements for accomplishing specified objectives which, when met, will also satisfy long-term interests of the participating organizations and units. Therefore, they take much longer to develop than either cooperative or coordinative interagency efforts. Once established, however, collaborative interagency relationships have the potential to provide much more extensive

benefits to participating organizations. In effect, collaboration requires that agencies engage in fundamental alterations which affect policy, structure, decision making, personnel roles and authority or control. Thus, collaborative interagency efforts are usually engaged in only when the issues under consideration are so complex or so costly that neither cooperation or coordination will suffice.

Interagency objectives appropriate for collaboration are broad in focus and require extensive commitment of the agencies involved. Collaborative interagency efforts are directed toward the attainment of objectives which can not be met by individual organizations, either because their mandates preclude such activities or because there is no possible way that the needed resources could be made available even if massive reallocation were considered. Such interagency objectives may begin as clearly definable and assessable, but are more commonly obtuse and intuitively assessed; further, there is a tendency for the objective to shift over time.

An example of collaboration might occur when, for the sake of conjecture, three agencies that individually focus on education, youth and adolescents, and health decide for some reason that there is an overwhelming need to direct their services to support families in crisis. The State, for whatever reasons, has directed the single agencies to accomplish this objective using an interagency approach. Agencies must devote considerable attention to establishing an appropriate interagency arrangement to accommodate this broad interagency goal. The one fact which is certain is that no single agency has the requisite resources or skills required to accomplish the objective independently. This task will require support from the individual agencies which will reflect positively on each sometime in the

future when the effects of this effort become evident; however, in the short-term the effort is likely to be a constant drain on agencies' resources. In effect, collaboration is the appropriate interagency effort to accomplish this collective objective.

Collaboration always requires some modification of existing agency policies, as well as the creation of new ***interagency policies*** that support the interorganizational arrangement. In the example of agencies collaborating to support families in crisis, participants will need to create new interagency policies that will provide guidance as this complex objective is pursued. In addition, an interagency policy is needed to authorize the new collaborative unit to pursue the interagency objective autonomously.

As is the case with coordination, collaborative interagency efforts always require the development of a new ***interagency structure***. Over time, the new unit supplants individual agency authority to accomplish the interagency objective. Staff are assigned directly to the new unit and the collaborative effort becomes their primary responsibility. Typically, single agency interests are represented through a policy board that oversees the collaborative enterprise. However, responsibility for all operations rests with the collaborative unit, and not with the individual agencies. In effect, the new unit is given authority to make decisions about planning and operation of the collaborative interagency effort. Such a unit would be needed in the interagency effort to support families in crisis.

Collaborative interagency relationships are supported with pooled ***resources*** which are largely within the control of the collaborative unit. Participating agencies are expected to provide resources to the new unit in order to support the commonly accepted mission of the collaborative; often,

agencies make substantial yearly contributions to the collaborative unit in exchange for ongoing participation in its activities. In addition, collaborative interorganizational arrangements often seek out additional resources by applying for grants or by generating their own sources of income.

Unlike cooperation and coordination, primary ***loyalty*** is ***to the interagency effort*** rather than to the concerns of individual agencies. Such loyalty is possible because collaborative interagency arrangements are based upon, and require the building and maintenance of trust relationships among agency participants and between the new collaborative unit and each member agency. Personnel assigned to work for the collaborative enterprise obtain their power to act and make decisions from the collaborative itself through the policy board rather than from the individual agencies.

In order for collaboration to work, the collaborative unit must engage in a series of planning activities designed to ensure that the individual agencies receive an equitable share of the benefits and resources. That is, agencies must believe that they are receiving a fair share of the benefits in exchange for their investment in the collaborative effort. A key factor in the development of such trust is the creation of interagency procedures for ***establishing agreement*** about what are legitimate concerns of the new collaborative unit and what issues will remain the prerogatives of the single agencies. Unlike coordination where "majority rule" voting processes will suffice, collaborative interagency efforts require procedures that resolve disagreements about territorial issues through consensus building. All involved agencies must agree about these critical issues.

In large part, such shared ***decision making processes*** distinguish collaborative interagency efforts from cooperation and coordination. Without

them, collaboration is not possible. Moreover, within collaborative interagency arrangements, decisions are commonly made on the basis of how best to achieve the interagency objectives. Decision making processes that work in collaborative interagency arrangements require extensive information sharing among the individuals involved in the collaborative effort, within single agencies, among participating agencies, and between single agencies and the collaborative. This information sharing commonly goes beyond the needs of the interagency objective and encompasses a wide range of peripheral issues. In effect, collaborative relationships require a high degree of risk-taking on the part of individual agencies that agree to entrust the collaborative with responsibility to accomplish its interagency objectives in the best way without continuous reference to the individual agencies for direction or approval. Typically, this autonomy to develop and implement policy results in a state of tension between the collaborative unit and the individual agencies.

The ***role of personnel*** in collaborative interagency efforts differs in some aspects from the roles played by individuals in cooperative and coordinative interorganizational arrangements. Collaborative efforts are carried out by staff whose primary responsibility and loyalty is to the new collaborative unit rather than to the individual agencies. Those who work in the collaborative tend to become a close-knit work unit willing to share all necessary information among themselves; this information sharing often exceeds the direct requirements of the task and occasionally results in decisions which conflict with the short term interests of the individual agencies. In addition, new collaborative units must have sufficient staff to accomplish their objectives. They also require as directors persons who are comfortable with exercising leadership in a highly political, ambiguous environment where

the need to provide vision to the enterprise is as important as the ability to administer daily operations.

In addition to staff, collaborative units have policy boards that are primarily composed of representatives of participating single agencies. These individuals have a dual responsibility which has the potential to create role conflict. First, they have the responsibility to oversee the interagency effort in order to ensure that interorganizational activities are successful. At the same time, they are employees of their home organizations and are expected to protect their own organizations' interests. In successful collaborative interagency efforts, policy board members become advocates of interagency objectives in their home organizations and actively involve other appropriate persons and units in the accomplishment of the collaborative's activities. The more informed and involved single member agencies are, the more likely that the collaborative unit will be able to implement its interagency objectives successfully.

Our example of a collaborative interagency effort to support families in crisis cannot be accomplished unless all of these personnel issues are addressed. The collaborative unit must have its own staff, and policy board members must fulfill multiple responsibilities if the interagency objective is to be accomplished.

In sum, collaborative interagency efforts represent a higher degree of interdependence than coordinative and cooperative arrangements. The creative efforts of the collaborative will initially be directed toward defining the nature of the problem to be addressed, toward creating appropriate inter-organizational procedures, toward establishing an effective work group in the new collaborative unit, and after that toward developing means for

accomplishing the objectives. The development of an effective policy board is also a key factor in successful collaborative units. Table 3 below depicts the features of collaborative interagency efforts:

Table 3

Features of Collaborative Interagency Efforts

OBJECTIVE:	the interagency objective has a broad focus and is long-term
POLICY:	interagency policies are determined by the collaborative unit
STRUCTURE:	requires the development and maintenance of a new interagency unit that functions relatively autonomously; staff must be assigned directly to the new unit
RESOURCES:	supported with pooled resources which are largely within the control of the collaborative unit
LOYALTY:	primary loyalty is to the interagency effort; secondary loyalty is to the individual agencies
AGREEMENT:	disagreements about territorial issues are resolved through consensus building
DECISION MAKING:	interagency decisions are made by the collaborative unit; interagency needs are primary; single agency needs are secondary
PERSONNEL ROLES:	carried out by personnel whose primary responsibility is to accomplish the interagency objective; committee members actively protect interagency needs and concerns in their home organizations

The Three Types of Interagency Efforts

Cooperation, coordination and collaboration are all appropriate interagency approaches to accomplishing different kinds of interorganizational objectives. The broader and more complex the interagency objective, the more agency interdependence required. The need to develop interagency policies and

new interagency structures expands as the degree of agency interdependence increases. Cooperation and coordination are dependent on single agency resource contributions; collaboration requires pooled agency resources.

The greater the degree of interdependence, the greater the need for agency representatives to shift their primary loyalty from single agency concerns to the interagency effort, and the more likely that procedures will need to be developed to resolve disagreements about territorial issues. Coordinative interagency efforts can be accomplished successfully using "majority rule" voting procedures for conflict resolution; collaboration requires the building of consensus in establishing agreement. All participating agencies must agree on what are legitimate interagency concerns and what are appropriate single agency responsibilities.

In cooperation and coordination, interagency decisions are made primarily by single agencies; primary authority for decision making in collaborative interagency efforts is assigned to the collaborative unit. Staff and committee members play critical roles in ensuring that a particular interagency effort works. The greater the degree of interdependence, the more need for personnel who have full time responsibility to the interagency unit, who are risk-takers, and who have the capacity to address complex interagency problems creatively. Issues related to possible role conflicts must be addressed. In collaborative interagency efforts, committee members play critical roles in balancing interagency needs with the concerns of single agency participants. The greater the degree of interdependence, the more need for committee members to represent the concerns of the interagency effort in their home organizations.

Bottom line, each type of interagency effort is potentially effective. Decisions about which type to use begin with an analysis of the interagency objective(s) to be accomplished. Organizational conditions, interagency procedures and interpersonal relationships then need to be deliberately structured to fit the nature of the interagency objective. Coordination and collaboration can not be implemented solely by signing an interagency agreement/contract. Energies need to be systematically devoted to addressing the issues described above. Table 4 on the next page depicts the interagency features of cooperation, coordination and collaboration.

Administrative Issues Influencing Decisions To Collaborate

In government agencies, top administrators select particular interagency strategies based upon the organizational and interpersonal issues addressed above. However, their choices are further influenced by conditions associated with administration in their respective agencies.

Administrators employed by specific agencies normally develop intense loyalty to those units. One consequence of this ***agency commitment*** is that issues are frequently framed in their minds in terms of what is "good" or "bad" for the unit. Another consequence is that there is a tendency to consider how to use presenting issues as opportunities to strengthen, improve and expand the agencies for which they are responsible and which they control. Such responses are not only "normal" but also desirable. Those personnel working within the agencies rely upon their administrators to promote their programs' resource needs and abilities within the larger environment. Given this agency loyalty, it is understandable that administrators are reluctant to engage in collaborative interagency efforts which are likely to consume agency

Table 4

Types of Interagency Efforts

Features	COOPERATION	COORDINATION	COLLABORATION
OBJECTIVE	narrow focus; short-term	broad focus; short or intermediate term	broad focus; long-term
POLICY	no interagency policies required	interagency policies are dictated by single agency policies	interagency policies are determined by the collaborative unit
STRUCTURE	no new interagency structure is required; agency personnel are assigned to achieve the objective	requires development of a new interagency unit; staff may be directly assigned to the new unit	requires development and maintenance of new unit; staff must be assigned directly to the new interagency unit
RESOURCES	supported with discretionary funds which remain within the control of the individual agencies	supported with dedicated funds from the individual agencies that remain within the control of individual agencies	supported by pooled resources that are largely within the control of the collaborative interagency unit
LOYALTY	no loyalty to the interagency effort is required; loyalty is to the individual agencies	primary loyalty is to the individual agencies; secondary loyalty is to the interagency effort	primary loyalty is to the interagency effort; secondary loyalty is to the individual agencies
AGREEMENT	no major single agency territorial issues arise; agreement is not an issue	disagreements about territorial issues are resolved through "majority rule" voting procedures	disagreements about territorial issues are resolved through the development of consensus
DECISION MAKING	interagency decisions are made by the single agencies; interagency needs are secondary to agency needs	interagency decisions are consistent with single agency decisions; interagency needs are secondary to single agency needs	interagency decisions are made by the collaborative unit; single agency needs secondary to interagency needs
PERSONNEL ROLES	carried out by personnel whose primary function is to represent their individual agencies' interests and who are assigned responsibility for the interagency effort on a short term basis	policy issues are decided by interagency committee members whose primary function is to represent their individual agencies' interests, but who also demonstrate commitment to the interagency objective	carried out by personnel whose primary responsibility is to accomplish the interagency objective; committee members actively protect interagency needs and concerns in their home agencies

BEST COPY AVAILABLE

resources, develop interagency objectives of their own and be relatively free of direct agency control.

A second issue which seriously impacts on decisions to engage in collaborative efforts centers around the ***evaluation practices*** which are normally carried out in organizations. Most administrators are evaluated at least annually. These evaluations naturally focus on what has been accomplished within the time period since the last evaluation. Thus, the evaluation process to which administrators are subject is largely based on short-term, achievable and measurable accomplishments. Within this context, there is a great reluctance to engage in interagency initiatives which consume resources that are needed immediately even though the prospects for "pay-offs" are some years in the future. Those who are willing to do so tend to be relatively confident that they can maintain an acceptable level of short-term successes which makes involvement in long-term interagency activities possible.

A perspective which enables administrators to focus on the long-term "general good" above and beyond their own personal and agency needs is also required. That is, they must perceive sufficient value in the objective to be achieved through collaboration that engaging in the effort is worth the cost to their respective agencies. Without such a perspective, collaboration is not possible even if many of the other conditions necessary to support it are present.

In order to understand why organizations and their administrators select particular types of interagency efforts, a ***framework for understanding*** their ***motives*** is needed. Choices to engage in cooperation, coordination and collaboration can be better understood if viewed in terms of three distinct

motives: [1] political; [2] enhancement of organizational effectiveness; and [3] recognition of the general good. Decisions to engage in cooperation most commonly are politically motivated. These activities are generally simple in nature and do not require extensive resources or long-term time commitments. In fact, with few exceptions, any single agency could accomplish the task independently if it chose to do so. There are, however, often compelling political reasons for involving other organizations in the activity on a short-term basis.

Coordinated activities, on the other hand, are most often motivated by the need to enhance the effectiveness of a particular organization (although political considerations may also be involved), while recognizing that this can not be accomplished without collective action with other organizations. In this instance, in order to make a particular organization more effective, the talents and resources of one or more organizations are required for support. In the case of collaboration, the motive must be a recognition and acceptance of the general good, since few other motives would cause an administrator to engage in activities which are likely to have as many short term disadvantages.

In sum, for agency administrators to engage in collaboration, a number of conditions must be present concurrently. First, there must be a perspective that enables that individual to see beyond the needs of a specific organization. Second, there must be a recognition of the most appropriate way to resolve a specific issue. Third, the administrator must have reasonable confidence that his/her personal or agency position will not be severely compromised by engaging in the collaborative interagency effort.

For most administrators, the normal tendency is to deal with issues that arise in the ***simplest*** and ***least expensive*** manner possible. Thus, it is common to attempt to deal with interorganizational issues through cooperation initially. If this does not work, coordination is attempted; this is frequently successful since a great many interorganizational issues can be handled at this level. It is with extreme caution and great reluctance that agencies move toward collaboration; the period of time required before "pay-offs" appear, the resource costs, the lack of single agency control over collaborative efforts, and the possibilities of failure as new directions are charted all increase the risks associated with such initiatives.

All of these factors help to explain why some administrators prefer to engage in cooperation or coordination, but publicly refer to these interagency efforts as collaboration. In this way, they can reap the benefits associated with the term while avoiding the costs associated with the fact.

Special Features of Government Agencies

In their purest form, collaboratives emerge when two or more independent agencies agree on some common need which can not be met independently, or through cooperation or coordination. Single agencies recognize the need for such an activity and the services it can provide to the larger community, but are fully aware of their individual agency limitations to accomplish it.

Within the framework of governmental agencies, however, the decision to enter into collaborative efforts is even more complex. First, all of the agencies within a governmental administration are always in competition for the same resources; that is, there is a single State budget with a fixed amount and each agency is competing for a larger share of the existing resource pool. In such cases, there is a natural reluctance to advocate

creation of a new initiative which will be in competition for the same resources.

Second, within governmental levels, decisions to engage in collaborative efforts are commonly prompted by executive level policies or expressed desires as well as legislative mandates; thus, the intent may be to meet some recognized "common good," but the recognition and impetus to act may be from some agency other than those which are required to implement the collaborative interagency effort. In such cases, the interplay of influence between governmental levels, as well as between agencies at each given level, serves as a complicating factor. When the impetus to collaborate emerges from some source other than the implementing agencies, commitment to collaborate is often reduced and accompanied by genuine disagreements about the need to collaborate and how best to satisfy the expressed mandate.

In sum, public organizations typically respond to administrative or policy mandates in making decisions about issues that will be addressed through collaborative interagency efforts. Regular agency responsibilities must continue to be met effectively at the same time as interagency planning and actions occur. More often than not, resources to support interagency efforts are delayed and planning activities create a strain on existing agency resources. Given these administrative issues and organizational constraints, public agencies tend to adopt cooperative or coordinative strategies to accomplish interagency objectives. Collaboration is necessarily rare. The special challenge inherent in P.L. 99-457 is that successful implementation requires the use of collaborative interagency efforts in order to develop a comprehensive coordinated service delivery system for infants and toddlers with handicaps and their families. The provision of federal resources to allow

for a five year planning period before full implementation was an absolute necessity.

SITE FOR THE STUDY

The research was designed as an in-depth case study of a mid-Atlantic State that has 24 local political jurisdictions with a variety of demographic characteristics. They range from densely populated urban jurisdictions to large and medium sized suburban localities to small sparsely populated rural areas. The State was chosen for this study largely because of its long standing progressive attitudes toward providing services to persons with handicaps and because of the value it places on interagency efforts to deal with issues related to that population.

These attitudes have been expressed through the development of a wide range of programs for persons with disabilities and their families. Without attempting to provide a comprehensive listing of these efforts, the following are noted as examples of such programs:

- o The wide range of programs, sponsored by the State Department of Education, for infants and toddlers with handicaps, school-aged children with handicapping conditions, and persons with disabilities making the transition from school to work. These programs both precede and respond to Federal and State enabling legislation;

- o Examples of programs sponsored by the Department of Health and Mental Hygiene include: The EPSDT (Early and Periodic Screening, Diagnosis and Treatment) program designed to provide comprehensive health care to children eligible for Medical Assistance from birth through age 21; the program that provides community-based services to technology dependent children who would otherwise be placed in institutions; and the Children's Medical Services program that provides identification, prevention and treatment of medical and developmental problems to children up to age 22 who have special health care needs.

- o Programs sponsored by the Juvenile Services Administration for children and adolescents with handicaps include the System for Evaluation and Treatment of Every JSA Youth and the Deinstitutionalization of the Juvenile Offender Program

- o The many services and programs sponsored by the Governor's Office for Children and Youth as a part of its major commitment to at risk children and their families, including administration of planning activities associated with the implementation of P.L. 99-457; and

- o Programs administered by the Department of Human Resources, including a network of Family Support Centers (community-based, locally operated drop-in centers focussing on problems of adolescent parenting) and an intensive case management service for families at risk of having a child removed from the home.

In effect, these are just a few examples of the many services and programs that the State sponsors through its Departments and Executive Offices that provide direct and indirect services to citizens with disabilities and their families.

The value that the State places on interagency efforts was in part translated into the establishment of at least three formal interagency committees charged with the responsibility of improving the provision of services and programs for children with special needs and their families. In 1982, the State Coordinating Council (SCC) was created by the Governor as an interagency committee responsible for making residential placements for persons with disabilities. In 1980, long before the federal legislation which mandated it (i.e., P.L. 99-457), the State Department of Education passed a resolution requiring the provision of educational services for children with handicaps between the ages of 0-3. Other interagency committees responsible for issues focusing on children with special needs and their families were created in 1985 and 1987. The Interagency Planning Committee for Children (IPCC), created in 1985 by the Governor, was intended to establish the basis for interagency planning and actions on the spectrum of issues related to children with special needs and their families. Finally, the Interagency Coordinating Council (ICC) was established in 1987 as a part of the State's

response to P.L. 99-457 that mandated, among other things, delivery of comprehensive coordinated early intervention services to infants and toddlers with handicaps and their families.

In this report, activities related to the formation, operation and outcomes of these three major State Interagency Committees (i.e., SCC, IPCC and ICC) are reviewed. Each of these Committees was intended to be a vehicle through which State departments and executive offices might develop interagency approaches to the delivery of services to special needs children and their families. The activities of these Committees span the last decade, during which time there have been changes in the leadership of the Departments, reorganizations of the State executive office system, and changes in persons who served as Governor. In addition, there were several major pieces of State and federal legislation that affected Committee direction and operations, the most recent of which is P.L. 99-457.

The seriousness of the State's commitment to the development of effective interagency efforts is evidenced in the recent report entitled Serving Children With Special Needs: [State]'s Evolving System (April, 1988), that was developed by the Subcabinet for Children and Youth at the request of the Joint Legislative Budget and Taxation Committee. The report delineates barriers that the State has faced in its interagency efforts; this analysis reflects the leadership's fundamental understandings of many of the issues related to interagency collaboration. The authors of the report state that: "Logistical, legal, procedural and professional obstacles have historically impeded any attempts to coordinate care between agencies for clients with multiple needs. Some of the most important impediments are discussed below:

o Historically, each agency has had somewhat different priorities, and resources are limited. Priorities are substantially rooted in the statutes, which govern agency operations and the General Assembly's budget decisions. Judicial mandates also play a key role in setting agency priorities.

o State Agencies, like private practitioners, often cannot assess clearly, accurately, or early enough, the true needs of a child. Many factors affect the problem of assessment...The entire field of children and youth services is struggling to come to terms with the problem of diagnostic and evaluative validity.

o Each Agency operates its own management information system (MIS), often using many different formats and a wide range of codes to categorize services. ...The difficulties of integrated data collection are increased by unsophisticated and outdated MIS.

o Finally, until recently, the State...had not developed a unified strategy to govern resource expenditure and service delivery to Special Needs Children." (p. 12)

In a section that summarizes future direction, the Sub-Cabinet for Children (whose membership included the Chief Executive Officers of SDE, DHMH, DHR, GOC&Y and JSA) concluded that:

> Each of the executive agencies entrusted with a separate piece of the larger human problem presented by vulnerable children and families has done its job well. By re-integrating those separate pieces into the complex human situation they must understand and treat, they have joined their commitments and many of their resources in a way that promises to use society's increasingly scarce public resources in a logical cost-effective way.
>
> ...The approach outlined in this report is a departure from business as usual: the needs of at risk children will for the first time be systematically evaluated from a multi-leveled perspective, and be met with services designed around the child and family, not with a rigid system into which they must fit, or fall through resulting cracks in the bureaucracy... (pp. 28-29)

It should be noted that the report on Serving Children with Special Needs: State's Evolving System has just recently been submitted to the Legislature; there has been no time for an official response or action.

STATE INTERAGENCY EFFORTS

This section of the report focuses on the three interagency committees that have responsibility for services to children with special needs and their families in the State under study. It provides [1] descriptions of the three interagency committees; [2] an analysis of the type of interagency effort each committee represents; and [3] an assessment of the extent to which the type of interagency effort portrayed by each committee is appropriate for successful accomplishment of their respective interagency objectives.

State Coordinating Council

Description

Mandate: The State Coordinating Committee on Services To Handicapped Children was established in 1978. It was charged with the responsibility for making recommendations to the Governor about issues pertaining to the State responsibility for residential placement of students with multiple special needs. Recommendations included that [1] a funding pool for residential placements be created; [2] the State Coordinating Council for Residential Placement (SCC) be established as a permanent interagency committee; [3] Local Coordinating Councils be established in each local jurisdiction in the State; and [4] procedures for case management at the local level. In a July 1982 Executive Order (E.O. 01.01.1982.09), the Governor changed the name of the State Coordinating Committee to the State Coordinating Council for Residential Placement of Handicapped Children. In 1987, the mandate for the SCC was placed into statute by the Legislature.

The primary function of the SCC has been to approve residential placements and to conduct such other activities as are consistent with that responsibility. These include development of a common funding pool, ensuring

that children with handicaps are placed in least restrictive environments, and making initial efforts to provide placement sites in the State for those who are currently being served out-of-state. The present functions of the SCC were mandated initially by P.L. 94-142 and were at one time carried out by the individual Departments acting independently with respect to their clients. At this point in time, the Council does not have responsibility for placement in group homes or for the provision of foster care; these programs are administered by the Department of Human Resources as single agency initiatives.

Committee Operations: The SCC is located within the Governor's Office For Handicapped Individuals (OHI). In 1987, the SCC was permanently located within OHI by executive order. It has a Director and other appropriate supporting staff. Membership on the Council consists of the Secretary of the Department of Health and Mental Hygiene, the Secretary of the Department of Human Resources, the State Superintendent of Schools, and the Secretary of the Juvenile Services Administration,or their designees. Membership on the Council was delineated in the Executive Order (E.O. 01.01.1982.09) and was later expanded to include JSA. In addition, the Director of the Office For Handicapped Individuals and the Director of the Governor's Office For Children and Youth are ex officio members of the SCC.

A Placement Review Committee (PRC), consisting of members of each of the four units referred to above, meets weekly to review cases and make placement decisions. Each of the participating Departments has an office and personnel to carry out investigative and evaluative activities required before a case is brought to the PRC. The SCC meets monthly to review and establish policies related to residential placement. In addition, unique cases with policy

implications are brought to the SCC, as well as all cases where placement was denied. Assignment of responsibility for costs for a specific placement is based on the extent to which a particular agency is responsible for the placement of and delivery of services to that individual.

Four cost centers were designated for use in making financial determinations: two for education and two for residential and related services. Once financial responsibility for a residential placement is distributed and agreed upon, each Department is charged its share of expenses. The requirement that costs be shared based on extent of responsibility has, it was reported, the effect of ensuring that each case is rigorously examined to determine whether residential placement is really necessary. Since all of these placements are in private, out-of-State institutions, and the individuals involved are in need of extensive services, costs are especially high. There has been some recent discussion about developing in-State residential centers for those children currently placed out-of-State, and a first effort in this direction is now being developed.

Each of the local jurisdictions has established a Local Coordinating Council (LCC), an interagency committee composed of the local counterparts to Departments represented on the State Coordinating Council. These LCCs follow guidelines established by the SCC in making recommendations to the SCC for residential placements for clients in their respective jurisdictions. Additional information about LCC operations and interagency relationships will be gathered during Stage Two of this study.

Nature of the Interagency Effort

By and large, the State Coordinating Council most closely approximates a coordinative interagency effort in both its design and functions. The

following analyses of the organizational and interpersonal dimensions of the SCC support this contention. They are based on information provided by participants in the study, on relevant written materials, and on the research on effective collaboration.

Interagency Objective: The SCC clearly has a very focused interagency objective: determination of appropriate residential placements. Basically, for each case that is brought to its attention, the Council must decide: [1] whether or not to support residential placement for a particular individual; [2] which services would be appropriate for those who are placed in residential settings; [3] what the financial responsibilities of each agency will be for each individual who is placed in a residential setting; and [4] the most appropriate location for that placement. The range of placement options is limited by the availability of approved residential settings which offer the combination of services required by a particular individual. They have also made more creative placements for children with unique special needs.

In effect, the services provided by the SCC are intended to meet the intermediate and long-term interests of the single Departments. The need for this service will continue indefinitely. These agencies are fulfilling their individual responsibilities through the use of an interagency strategy (i.e., the SCC). The SCC's interagency objective most closely approximates objectives best served by coordinative interagency efforts.

Interagency Policy: Initially, effective implementation of the residential placement function required the creation of new policies. These might have continued to be implemented by the agencies themselves, but as of 1978 were assigned by the Governor through an Executive Order to the SCC.

SCC policies are determined by the SCC members who are representatives of participating State Departments. These policies also regulate relations with LCCs and the procedures for approving residential placement sites. They are policies that provide guidance for the interagency effort. Moreover, these policies are congruent with member agencies' residential placement policies. For example, the SCC has developed a specific framework for assigning the cost of residential placement to the individual agencies; this framework is congruent with single agency policies in this area. The framework establishes four cost centers: two for educational services and two for related services. It was reported that no formal policies have been established that delineate procedures leading to placement decisions, and some problems relative to making such decisions do exist.

All of these features of SCC interagency policies are characteristic of policies that work best in coordinative interagency efforts.

Interagency Structure: The structure of the SCC was determined initially by Executive Order and later defined in statute. The membership is comprised of the Chief Executive Officers of the four major service agencies (or their designees) with the chair of the Council rotating among the members. There are two ex officio members: the Director of OHI and the Director of GOC&Y. The need for support staff is determined by the SCC. There are five support staff: the Executive Director, a Program Coordinator/Administrator, a Fiscal Specialist, a Fiscal Clerk and a Secretary/Office Manager. The SCC is designated as a new interorganizational entity with supporting staff assigned directly to it. The individual Agencies also have units with designated personnel who serve on the Placement Review Committee (PRC) which meets weekly. These personnel are responsible for making most residential placement

decisions. They are also responsible for the assessment and monitoring of residential sites. The SCC considers these recommendations and makes final dispositions in its monthly meetings. Respondents report that the PRC working group which meets weekly facilitates the Council's ability to accomplish its work. Successful coordinative interagency efforts require interagency structures similar to the SCC.

Resources: Financial support for the SCC is derived from more than one source. The cost of supporting residential placements for children with handicaps is met primarily with single agency funds dedicated for that purpose, as is the case with most coordinative interagency arrangements. To the extent that such funds exceed the designated amount budgeted, shifts in agency budgets must occur to support the placements. As one respondent noted, "the major problem is funding...who pays how much for each placement." The actual operations of the SCC and its personnel are supported with funds through the executive branch of State government.

Respondents report that there is a proposal to create a single fund that would be located in the SCC to support residential placements. This would replace the funds obtained from agencies' budgets though designation of responsibility and cost-sharing for each placement. This proposal would certainly serve to minimize the concerns of individual agencies about appropriateness of cost-sharing assignments. In the event that the proposal to adopt a pooled resource base is accepted, some decisions will need to be made about how potential expenditures which might exceed the pooled resource base would be assumed. Pooling resources is characteristic of collaborative interagency efforts.

Loyalty: All of the persons interviewed indicated that there is a major commitment among all members of the PRC and the SCC to making placement decisions in the best interests of children with handicaps, and that this commitment has been repeatedly demonstrated over time. Nevertheless, both the PRC and the SCC members, who conduct both the initial investigations and make the final decisions, are employees of the individual agencies and look to those organizations for rewards and eventual promotions. It was reported that when making cost assignments for residential placements, there is a tendency to protect individual Department budgets.

The State Coordinating Council is comprised mostly of individual agency representatives, whose primary loyalty is to their own Departments. However, it is evident from the interviews that these service agency members are also committed to appropriate placement of children with handicaps; this indicates that they also maintain loyalty to the interagency effort. The inclusion of representatives from two Executive Offices not directly involved in making residential placements provides some balance and reduces the self-interest capacities of the service agencies.

Establishing Agreement: For the most part, SCC members use consensus processes to gain agreement about policy issues related to residential placement. Disagreements about assignment of costs are also resolved through consensus, because they would create strains within the interagency unit. The presence of such procedures to address agency territorial issues is an indicator of moderate interdependence among agency members of the SCC.

In these ways, the SCC uses collaborative procedures for establishing agreement. Engaging in the activities of the SCC does not appear to entail much risk taking on the part of the individual Departments, but it clearly

requires a dependency on the other organizations to accept their fair share of the residential placement costs. It was reported that there is also an assumption that perceived unfair allocations may occur, but that these will "even out" over time.

Decision making: Because SCC members are representatives of their individual agencies, those decisions which regulate the SCC staff tend to be consistent with single agency needs and policies. It was reported that this is particularly true with regard to cost assignments; in such cases, the needs and dictates of the individual agencies are primary for the SCC representatives.

In those cases where the issues under consideration are not likely to conflict with individual agency needs (i.e., policies regarding the LCCs or the approval of residential sites), the SCC representatives deal with the interagency unit's needs without reference to individual agency needs. By and large, however, single agency needs are primary in the SCC decision making process and SCC interagency needs are secondary, as is the case in coordinative interagency efforts.

The operation of the PRC and the SCC necessitate a moderate degree of information sharing. Full sharing of client information is expected. This view was expressed by several respondents; a representative comment is " the PRC has improved efficiency because we can look at the needs of children together." In effect, there is no need for any sharing of information that would not enhance the SCC's capacity to make residential placements.

Personnel Roles: All persons interviewed indicated that there is a major commitment among members of the PRC, the SCC and its staff to making placement decisions in the best interests of children with handicaps and that

this commitment has been repeatedly demonstrated over time. Nevertheless, the PRC members who conduct the initial review and make recommendations for placement are employees of the individual organizations to which they look for their rewards. It would seem likely, therefore, that their responsibilities are somewhat divided between commitment to the client needing placement and to their respective Departments' needs. It is probable that the interests of the children and the Departments are in harmony most of the time, but that occasionally these sets of interests are inconsistent.

In effect, SCC policy decisions are made by Council members whose primary function is to represent their individual agencies' interests in the coordinative activity. At the same time, they have become invested in seeing that the interagency objective is carried out successfully. These are characteristics of personnel involved in coordinative interagency efforts.

While dependent upon the SCC for continued employment in that particular position, the SCC staff are actually employees of the executive branch of the State. The presence of staff who are assigned directly to the State Coordinating Council helps to mediate these tensions, and is, therefore, characteristic of successful coordinative interagency efforts.

Summary

The SCC exhibits the characteristics of a coordinating unit in terms of interagency policies, interagency objectives, resources, loyalty, interagency structure, decision-making and personnel roles. This classification is consistent with the demands of the tasks with which it is confronted and explains the high success rate that the SCC has had over the years. The conditions within which it operates are appropriate for the purposes that the SCC is trying to achieve. The requirements for a cooperative interagency

arrangement would not be adequate for the task of residential placement, and the time and financial requirements of a collaborative interagency effort would be unnecessary.

The SCC carries out functions which at one time were undertaken by individual agencies (DHR, DHMH, JSA and SDE). Additionally, it was originally created by Executive Order of the Governor rather than by the agencies themselves; thus, the staff of the SCC is supported by the executive arm of the State. It was reported that at this point in time the chief executive officers of the four Departments involved accept the need for the SCC as an interagency arrangement to carry out the residential placement function and those activities associated with it. The operation of the SCC simplifies the residential placement function for the agencies, reduces the number of personnel within each Department who would be required to carry out this function, and provides guidelines for residential placement that are likely to be more consistent than would be the case if each Department operated independently to fulfill this function. The services provided by the SCC clearly meet the intermediate and long-term interests of the single Departments since this will continue to be an ongoing client need for the indefinite future.

By and large, the State Coordinating Council exhibits the organizational conditions and interpersonal relationships that are characteristic of successful coordinative interagency efforts. Figure 2 below depicts a profile of the interagency features of the State Coordinating Council:

Figure 2

Profile of the State Coordinating Council

Features	Degree of Interdependence		
	COOPERATION	COORDINATION	COLLABORATION
OBJECTIVE		X	
POLICY		X	
STRUCTURE		X	
RESOURCES		X	
LOYALTY		X	
AGREEMENT			X
DECISION MAKING		X	
PERSONNEL ROLES		X	

Interagency Planning Committee For Children

Description

Mandate: A planning committee was created at the request of the Governor in 1985 as a part of his Children and Youth Initiative. The purpose of the committee was to develop an interagency plan for children with special needs, because such children often require the services of more than one State agency. There was no formal policy statement that authorized the Committee's creation or delineated its responsibilities in a precise manner.

In the preface to the Interagency Plan for Children with Special Needs (Plan), the Chief Executive Officers of the three major State service agencies

(SDE, DHMH, and DHR) that had responsibility for providing services to children with special needs described the purpose of the Plan:

> The Interagency Plan represents another major step toward achieving a comprehensive, coordinated service system for special needs children. We intend that it [the Plan] be the first of a series of annual plans in which State agencies set forth their short-term and longer-range goals and activities for helping children and their families. We also view this plan as part of an ongoing dialogue among State and local agencies, private providers, and advocates about how special needs children can best be served. . .(p.iii)

The planning committee also made recommendations about continuation of the interagency planning process. In its report, the members recommended to the Governor that: [1] "an ongoing State government function of interagency planning and budgeting for special needs children be established through the creation of an Interagency Planning Committee for Children; [2] the membership of the proposed IPCC be expanded to include "additional local input and advocacy representation in the planning"; and [3] the "IPCC monitor the implementation of the first Plan and develop or amend the plan for future years as required" (Plan, p. ix).

Membership: The Plan was prepared by five State agencies: [1] the Department of Human Resources (SSA); [2] the Department of Health and Mental Hygiene (ACA, DAA, JSA, MHA, MRDDA, PMA); [3] the State Department of Education; [4] the Governor's Office For Children and Youth; and [5] the State Coordinating Council for the Residential Placement of Handicapped Children. These were the major State Departments, and their appropriate subdivisions, as well as the Executive Offices concerned with delivery of services to special needs children and their families.

Members of the planning committee represented each of the above State Departments and appropriate subdivisions. Initially, two of the twenty-two members (officials and planners) represented advocacy groups and private providers (Plan, p. iv). With the creation of the IPCC, membership was expanded in Year Two to include "additional local input and advocacy representation": six of the thirty-six members were representatives of private providers and advocacy groups (Progress Report, p. vi). There were no parents, or representatives of special needs parent groups on the IPCC, thereby limiting the IPCC's direct access to information about accessibility issues from the perspective of parents of special needs children.

Development of The Plan: Year One Activities (1985-1986): A definition of the targeted population was developed, and a description of effective management of services for children with special needs was delineated. The planning committee articulated "cross-cutting issues critical to the effective management of State services" (Plan, p. ix). These included: [1] service planning and case management; [2] community education on behalf of special needs children; [3] improved interface with private sector providers; [4] transitioning services; [5] interagency licensing and monitoring and [6] interagency rate setting.

The planning committee engaged in a series of activities designed to identify which agencies were operating similar or complementary programs and compiled listings of agencies, personnel and programs that were addressing similar concerns and/or served similar populations. This cross-agency picture represented the first comprehensive effort in the State to develop such information across the five major agencies that had assigned responsibility for overseeing services to children with disabilities in the State. A large

number of staff in each of the individual agencies were involved on task forces created to facilitate IPCC information gathering activities.

The planning committee also identified five service priorities for a coordinated system of services for special needs children. They include: [1] primary prevention activities; [2] early intervention services; [3] evaluation, assessment and diagnostic services; [4] in-home and community services; and [5] substitute care services. Specific tasks to be accomplished were established, the particular units involved with those tasks were identified, and one of the units was given lead responsibility for each task. Time lines with varying levels of specificity were included in the Plan as well as a list of Fiscal Year 1986 funding levels for existing programs. No information was provided in the Plan about estimated costs for proposed coordinated services.

The Interagency Plan for Special Needs Children was transmitted to the Governor in January 1986. In accepting the Plan, the Governor emphasized "...his commitment to seeing that the recommendations and tasks set forth in the plan are implemented" (Letter, 1/27/86). As a follow-up to first year activities, a new interagency committee, (i.e., the IPCC), was created as a collective initiative of the major individual agencies in the State. Its assigned tasks were: [1] monitoring the implementation of the Plan; [2] updating the Plan annually; and [3] providing information about the goals and priorities of the Plan to appropriate personnel in the individual agencies. In this way, the Interagency Planning Committee for Children (IPCC) was appointed and its membership was expanded from twenty-two to thirty-six members. The Department of Human Resources was authorized to convene and chair the IPCC in Fiscal Year 1987. The Director of the Social Services

Administration, DHR, was appointed chair of the IPCC for Year Two. None of the persons interviewed indicated that the IPCC had a staff or a separate budget.

Year Two Activities: 1986-1987: Respondents reported that initial activities were energetic, and progress was attributed to the creative and effective leadership of the chair of the first planning committee who in Year Two was appointed as the first IPCC Chair. No data were reported about the ways in which the IPCC monitored the implementation of the Plan. However, amendments to that plan are delineated in the March 1987 annual Progress Report.

The IPCC completed the first Progress Report of its activities in March 1987. In this report, the three service Departments' (i.e., SDE, DHMH, and DHR) activities since the completion of the Interagency Plan were presented. In addition, the report identified six action recommendations and presented tasks to be completed in each of six areas. They include:

- o "The State should expand and better coordinate a system of prevention/early intervention services for children ages birth to three and their families.
- o In order to safeguard children at risk of abuse and neglect, the State must strengthen its system of protective services to children and promote ongoing services to families.
- o The State must expedite the development of resources to ensure that children who are at risk of commitment, or who have already been committed to the custody of a State agency, receive appropriate services.
- o The State must expand programs and services designed to reduce school truancy, prevent disruptive behavior in school, and encourage students to complete high school.
- o DHMH and SDE should continue to coordinate and expand the State's drug and alcohol abuse education and treatment programs.

> o The State should establish a pilot program for comprehensive assessment, diagnosis and evaluation services for special needs children, in order to coordinate the often separate assessments required by DHMH, DHR and SDE." (Progress Report, Section I)

Two sources of data about Year Two activities were used: respondent reports and the Progress Report: Interagency Plan for Children with Special Needs, March 1987. There were some instances in which interviews did not confirm the extent of progress reported in the Progress Report. The report is attractively produced. However, in many cases, it is difficult to determine the extent of implementation that has been made on each task in the first Plan from the information provided in the Progress Report. In some instances, the language used to report progress is ambiguous. In other instances, it is unclear about the extent to which reported activities are the direct result of activities designed to implement the Plan or of single agency initiatives.

The Progress Report was transmitted to the Governor in March 1987. A new Governor was in office at the time who also articulated Executive Office support for the Interagency Planning Committee for Children:

> We must work even harder to ensure that our children have a healthy start in life. This requires the kind of collaborative effort of an interagency group which involves State and local government, the judiciary, private philanthropy, the corporate sector, neighborhoods and communities...You have my ongoing support through the Office For Children and Youth as the Special Secretary works with you to develop a united strategy on behalf of [the State's] children. (Letter 3/30/88).

In this fashion, the Governor assigned responsibility for third year IPCC activities to the Special Secretary of the Governor's Office For Children and Youth.

Year Three Activities: 1987-1988: In spring/summer 1987, the SSA Director and the Director of GOC&Y, who had served as the first two IPCC Chairpersons, left State government. A new permanent Director of GOC&Y was

not appointed until March 1988; thus, IPCC activities remained "uncovered" until that time. The second progress report of the IPCC was due to the Governor in Spring of 1988 but to date has not been completed. Respondents reported that no meetings of the IPCC have been held since November 1987.

Respondents were not consistent in the information they provided about year three activities of the IPCC Most of them reported that they were not aware of what the Committee was doing, and that they were not familiar with activities within their organizations related to the Interagency Plan. A representative participant comment was: "That Committee kind of died; there is no feeling in my agency that it went anywhere." It was reported by one respondent, however, that the IPCC subcommittee on which she worked has continued to meet and is developing a set of recommendations based on their deliberations. It would appear that this subcommittee is operating independently of the total committee which has not met for a number of months. Finally, those persons who were interviewed and who had attended the most recent IPCC meetings in Fall 1987, reported that the Committee was handicapped by changes in leadership and by the period of time during which the chair was vacant. These factors contributed to the interruption in IPCC activities.

Nature of the Interagency Effort

The Interagency Planning Committee for Children cannot be classified as a pure interagency type. An examination of the organizational and interpersonal features of that interagency committee provides insight into the classification problem. This analysis is based on information provided by participants in the study, on relevant written materials and on the research on effective collaboration.

The most critical point to note here is that any attempt to categorize the IPCC is complicated by the fact that, technically, it was really two different committees, with distinctly different tasks, operating at different points in time. During the first year of operation when the Plan was developed, a planning committee was appointed at the request of the Governor, but no formal executive order was ever issued. At that point in time, the planning committee's responsibility was limited to the development of the Plan. One of the recommendations of this first planning group was that a permanent IPCC committee be appointed.

During subsequent years of operation, a new IPCC Committee was established by the individual Agencies as a formal interagency arrangement. During this period the IPCC had responsibility for continued planning, monitoring of the implementation of the Plan, and influencing the individual agencies to operate in a manner consistent with the Plan. Thus, there was a shift in both the IPCC objectives and the forces which created and supported its continuing existence.

Interagency Objective: The interagency objective of the IPCC during its first year of operations was broad in nature, but short-term (one year). The specific nature of the proposed interagency plan for children with special needs was left undefined in the Committee charge. Since little preliminary work on this issue had been done, the Committee was left with a major task of unspecified dimensions.

During subsequent years of operation, the IPCC was assigned a broader task which included continued planning, monitoring implementation of the Plan, and working with individual agencies to provide coordination in the development of priorities and budgets. The fact that the IPCC had been

reconstituted as a permanent entity clearly implies that the agencies viewed these activities as a long-term endeavor.

No single agency could conceivably carry out independently the designated interagency objective of the IPCC . The nature of the objective itself precludes such independent action. It has a broad focus and will require a long period of time to accomplish. In effect, the interagency objective for the IPCC most closely corresponds to those interagency objectives which are best accomplished using a collaborative interagency effort.

It is possible that some IPCC members did not fully understand the scope of the interagency objective. One person who was involved with the committee noted that it "was not a change committee; rather, [its purpose was] just looking at overlap and duplication." In effect, to accomplish the IPCC objective, member Departments would need to make major modifications in both their policies and their procedures.

Interagency Policy: In a sense, the IPCC Plan served as a policy document because it articulated the purposes and directions of the interagency effort. However, the Plan required authorization for proposed activities from the Governor, and in the case of new appropriations, by the Legislature. None of the respondents indicated that such formal authorization occurred. Thus, interagency policies that could guide the work of the IPCC were virtually nonexistent. In addition, most respondents indicated that the work of the IPCC did not cause any modifications in single agency policies that would accommodate the interagency enterprise. In effect, IPCC interagency policies most closely approximated policies used in cooperative interagency efforts,

despite the fact that the IPCC interagency objective required a collaborative approach.

Interagency Structure: In order to develop the Plan, a one year temporary structure was created at the request of the Governor. The individual agencies subsequently created the IPCC as a new interorganizational arrangement charged with the responsibility of developing and implementing the Plan. Creation of a new interagency structure was necessary but not sufficient to accomplish the IPCC's interagency objective. In addition, the IPCC needed to have staff assigned directly to the Committee who would have had the responsibility for carrying out the interagency activities. In effect, the IPCC structure most closely approximates coordinative interagency efforts.

It was reported that early progress of the IPCC was dependent on the charismatic leadership of the first Committee chairperson, making the IPCC interagency effort person-dependent rather than dependent upon the creation of a viable interagency structure. Indeed, it was feasible that this individual's creativity and energy served as a substitute for the development of an effective interagency unit. Thus, it was not surprising that several of the persons interviewed reported that the work of the IPCC disintegrated when there was a change in leadership; a viable ongoing interagency structure was required for stability in the Committee's activities.

Resources: Members of the initial planning committee recognized the importance of addressing budget issues in the development of the plan. Major new interagency initiatives would require changes in existing funding patterns. At the very least, as is characteristic of a coordinative interagency effort, individual agencies would need to dedicate monies from

their existing budgets to accomplishing the work of the IPCC. In addition, the State would need to provide additional resources to the IPCC as it began to implement its broad and comprehensive activities.

None of the respondents indicated that any funds were specifically designated by the single agencies for IPCC operations and support. The primary resource contributions were the time of Agency representatives serving as members of the Committee, and the time of other personnel in the individual agencies who served on the numerous task forces that were established by the IPCC. In addition, no commitment of additional State resources was reported. In effect, the fact that resource contributions to the IPCC most closely approximated those provided in cooperative interagency efforts seriously impaired the IPCC's ability to accomplish its broad interagency objective.

Loyalty: For the most part, IPCC members were full-time employees of the individual agencies. Their primary loyalty, it was reported, was to their individual agencies. While it is difficult to determine precisely, many individuals were reported to have demonstrated secondary loyalty to the IPCC. However, as one respondent suggested "many other IPCC members were unsure of the focus of the committee's activities" and had not yet demonstrated much commitment to IPCC activities. By and large, loyalty to the IPCC interagency effort most closely approximates loyalty demonstrated in coordinative interagency efforts; collaborative interagency objectives, however, can only be accomplished when representatives of member agencies show primary loyalty to the interagency effort rather than to their single agencies.

It does not appear that the activities of the IPCC posed a sizeable risk for the participating agencies, but a considerable amount of collective activity was called for by the Plan that emerged; that is, units from the

various Departments and Executive Offices were expected to work more closely with each other to enhance services for specified groups of clients. In effect, the specific nature of that agency interdependence was never clearly defined.

Establishing Agreement: Within this context, it is not surprising that IPCC members were somewhat ambivalent, and in the final analysis, protected their individual agency prerogatives. A number of respondents noted that the major problems confronting the IPCC were "turf" issues, that is protection of single agency interests and domains. Apparently, the IPCC did not establish formal procedures to resolve such turf issues, thus seriously impeding progress in meeting the interagency objective.

Indeed, it was reported that attempts to operate by consensus took place before sufficient trust had been developed among Committee members and before the impact of specific single agency interests could be minimized. One person indicated that " frustration levels have risen as we try to cooperate. We can identify problems quite well, but seem less able to identify solutions...[in all our interagency efforts] we are talking the problems to death." The Plan set forth both priorities to be met in providing services to special needs children and interagency coordination issues that needed to be addressed; however, respondents indicated that those decisions that would require changes in the individual agencies were not fully addressed.

This situation apparently continued into the second year of operation. The product of that year (i.e., Progress Report, March 1987) was extremely ambiguous and did not indicate that the Committee had been very influential in convincing the individual agencies to implement the Plan. Extensive progress

would have required modifications in policies, structure, budget and use of personnel.

Lack of formal procedures for resolving disagreements, particularly around agency territorial issues, is characteristic of cooperative interagency efforts. However, accomplishment of the IPCC interagency objective required the development of formal procedures that would be dictated either by "majority rule" voting processes which characterize coordinative interagency efforts, or by the development of consensus building procedures that are typical of collaborative interorganizational relationships.

Interagency Decision Making: By virtue of the fact that confrontations over territorial issues were not addressed, individual agency needs became primary by default. In this situation, the short-range needs or interests of the individual agencies had a negative impact on attempts by the IPCC to deal with the long-range issues it was considering; the manifestation of these issues continued throughout the IPCC's period of operation. As one respondent indicated, "agencies were unable to communicate" about such issues.

However, it was reported that a great deal of information sharing regarding programs and personnel occurred. There is evidence to support the contention that sharing of personal beliefs occurred; that is, IPCC members clarified their priorities and sought to have the IPCC adopt those priorities. Such information sharing was an important first step in the development of more interdependent relationships among the participating agencies.

Respondents suggested that IPCC interagency decisions were not in conflict with single agency decisions. As is the case in coordinative interagency efforts, IPCC decisions were made primarily in terms of individual agency interests and secondarily in terms of the interagency effort.

Personnel Roles: Since no resources or staff were specifically assigned to accomplishing the IPCC's objective, the major work was completed within the single agencies by single agency personnel. Many persons from the Departments who were not IPCC members were involved in the task forces that were used to gather information about people and programs, define issues and develop position papers.

IPCC members represented their agencies primarily in their Committee roles. In addition, they became involved on the basis of their personal interests and professional orientations. It was reported that persons involved in the IPCC demonstrated a major commitment to the needs of the IPCC's clientele: children with special needs. There were instances reported where these two roles (i.e., agency representative and child advocate) were not always compatible. It evolved upon the IPCC members, who were also full-time employees of their individual agencies, to influence those agencies to adopt all or part of the Plan. Since this expectation was in addition to their existing full-time roles, it is inevitable that there would be serious limitations on the time and energy devoted to this task. Interestingly, persons who served as Agency representatives to the IPCC served on many interagency planning groups. Many reported that the work of these committees often overlaps and it is difficult to keep them straight.

A number of respondents noted that the key to success for a committee like the IPCC was in its leadership. The general consensus was that the first Committee chairperson was extremely effective: comments include "when he was head, there was more budget and information sharing", and "he really inspired the Committee's work."

The first two IPCC chairpersons left State government within a few months of each other and IPCC operations were interrupted soon after. As one respondent noted: "There's something wrong with a system when one person leaving can kill it." Another noted, "at the last few meetings in the fall, nobody really knew what to do." In effect, the IPCC's interagency objective was long-term, and was likely to last longer than the tenure of any one individual. In this case, the presence of a few committed and skilled individuals was necessary to energize the IPCC and but not sufficient to maintain it in their absence.

Summary

The organizational and interpersonal characteristics of the IPCC do not correspond to any single type of interagency effort. As can be seen in Figure 3 that follows, member agencies functioned with differing degrees of interdependence for the different features of interagency efforts. The interagency objectives assigned to the IPCC, especially during the second and subsequent years, were of sufficient complexity to require a collaborative approach. The nature of interagency policies, agreements, and decision making within the IPCC, however, was characteristic of a cooperative interagency effort. On the other hand, the structure of the interagency unit and the nature of member loyalties were like those necessary for coordinative interporganizational arrangements. Finally, the lack of financial resources available, or under the control of the interagency unit was most characteristic of cooperative interagency efforts. The net result was that the Committee was being asked to undertake a task which required collaboration, but the conditions in which collaboration could develop did not exist. It is quite likely that this proved very frustrating for IPCC members.

While the Plan did identify priority areas for additional interagency planning, it did not directly address ways in which the Plan would be implemented. No provisions were made for structural and programmatic changes in the State bureaucracy or in the individual agencies to accommodate interagency initiatives. While the Plan did address issues related to single agency budget realignment and assignment of personnel, no budgets were realigned, no personnel were shifted between agencies and no efforts were made to examine ways in which the design of the separate agencies would need to be adjusted in order to implement interagency programs and plans.

There was considerable evidence that the Plan itself, as well as the internal negotiations that preceded it, required a great deal of creative effort. Whatever the limitations of the Plan, it represented an important step forward, a movement toward ultimate improvement using an interagency approach services provided to children with special needs and their families.

Figure 3 depicts a profile of the interagency features of the Interagency Planning Committee for Children:

Figure 3

Profile Of The IPCC

Features	Degree of Interdependence		
	COOPERATION	COORDINATION	COLLABORATION
OBJECTIVE			X
POLICY	X		
STRUCTURE		X	
RESOURCES	X		
LOYALTY		X	
AGREEMENT	X		
DECISION MAKING		X	
PERSONNEL ROLES		X	

Interagency Coordinating Council

Description

Mission: Part H of P.L. 99-457 requires that States develop comprehensive coordinated service delivery systems that would provide appropriate early intervention services to infants and toddlers with handicaps and their families. The legislation stipulates that each State appoint an interagency council and designate a lead agency to oversee planning and development activities. In this State, the Governor's Office For Children and Youth (GOC&Y) has been designated as Lead Agency for the first two years. In addition, the Governor has appointed the Interagency Coordinating Council which has been in operation since Fall of 1987. It is the responsibility of

the lead agency with the advice of the interagency council to plan and implement an integrated service delivery system for the targeted population.

P.L. 99-457 indicates that the ICC will "advise and assist the lead agency..." (Part H, Section 632 [e]). The legislation also requires that the State establish "a single line of responsibility in a lead agency designated or established by the Governor for carrying out:

> (C) the assignment of financial responsibility to the appropriate agency
>
> (D) the development of procedures to ensure that services are provided to handicapped infants and toddlers and their families in a timely manner...
>
> (E) the resolution of intra- and interagency disputes
>
> (F) the entry into formal interagency agreements that define the financial responsibility of each agency...and procedures for resolving disputes and that include all additional components necessary to ensure meaningful cooperation and coordination." (P.L. 99-457, Part H, Section 676, [9])

The ways in which the State under study will implement these federal guidelines is yet to be determined. Until those decisions are made, the specific mission of the Interagency Coordinating Council cannot be fully articulated. However, the activities that are being undertaken to reach this goal will be described in the next section of this report.

Council Operation: The ICC has been functioning for eight months. Its membership includes a legislator, representatives from school systems, State agencies and Executive Offices, parents of children with handicaps and several external agencies with interests which center on children with handicaps. A number of ex officio representatives have also been appointed. There are no representatives from local health or social service agencies. The first ICC chairperson is a pediatrician associated with a local hospital, and the

individual who has been recommended for the chair (when the present chair relocates in another state in the immediate future) is a Council member from an external agency.

Presently, the State planning grant is located in the Governor's Office For Children and Youth. This designation as Lead Agency was in effect for the first two years. The Council has recently forwarded its recommendation for a permanent Lead Agency to the Governor; to date no official appointment has been made. The lead agency recommendation is "that GOC&Y be designated the administrative LEAD agency and that the three major service agencies (SDE, DHMH and DHR) be designated the service LEAD agencies." (LEAD Agency Options Paper, p. 4)

The work of the ICC and the responsibilities of the Lead Agency are coordinated by an experienced and skilled Project Director and five additional professional staff members: an Information/Data Collection Specialist; a Financial Systems Analyst; a Legislative/Public Information Specialist; a Planner/Policy Specialist; and a Resource Development Specialist. The Interagency Coordinating Council also created five subcommittees (Funding; Policy; Public Information; Service Delivery Systems; and Training and Recruitment) and three task forces (At-Risk Criteria; Lead Agency; and RFP).

In this State, implementation of the federal planning grant is proceeding aggressively. The ICC meets monthly and its many subcommittees and task forces also meet frequently. The continuation application to the federal government has been completed with much input from the involved agencies. Decisions on awards for three model program grants to one rural, one suburban and one urban county will be made shortly. A series of public meetings designed to elicit input from the local jurisdictions about implementation

concerns as well as to provide information to local service providers about State planning activities have been scheduled. The first meeting, held in mid-June, was extremely well attended; participants represented local education, health, and social service providers as well as parents, private providers and other interested persons.

Nature of the Interagency Effort

The ICC was appointed by the Governor as a part of State implementation of P.L. 99-457. Because it is less than a year old, it is difficult to make a final determination about the kind of interagency effort that it will become. At this moment in time, the ICC is developing the conditions in which collaboration could occur. Those issues which will determine the ultimate nature of the ICC interagency effort are discussed below. This analysis is based on information provided by participants in the study, on information gathered through attendance at Council meetings, on relevant written materials including P.L. 99-457 as well as on findings from the research on effective collaboration.

For the purposes of this analysis the significant points to note are: [1] the law requires "coordination" of and delivery of services to infants and toddlers with handicaps and their families; [2] this will require integration of services of all State Agencies to a degree that has not previously existed; and [3] both the interagency unit (ICC) and the separate agencies will experience numerous changes as progress toward the objective is achieved.

Interagency Objective: P.L. 99-457 establishes the State responsibility to develop a comprehensive early intervention service delivery system for infants and toddlers with handicaps and their families. This objective is clearly beyond the capacity of any single agency which is limited by its own

mandate and by its ability or inability to influence other agencies. Both the ICC and the Lead Agency will play key roles in accomplishment of this interagency objective.

The legislation clearly implies that the focus of these efforts is to be directed to the benefit of the clients and not to the agencies, thus codifying acceptance of the need to satisfy "the general good." This is a characteristic of interagency objectives that can best be accomplished using collaborative interagency efforts. In effect, satisfaction of the general good rather than single agency needs is likely to cause tension and conflicts within and between agencies; thus, the legislation calls for "the lead agency to develop procedures and agreements for resolving interagency disputes" (P.L. 99-457, Part H, Section 676,[9]).

The interagency objective is broad and will require many years to accomplish. The State is in its second year of a five year federal planning grant, and full implementation will begin in 1992. Accomplishment of the interagency objective will also require some re-conceptualization of the roles of State and local agencies as the new interagency service delivery system evolves and is implemented. In effect, the ICC's interagency objective has the characteristics of objectives that need to be accomplished using a collaborative interagency effort.

Interagency Policy: The ICC was established by Executive Order of the Governor as required by P.L. 99-457. As part of its planning activities, the ICC is currently addressing a number of policy issues which will guide its interagency efforts. These include, but are not limited to: how the individual agencies and the ICC will relate to each other; principles that will guide relationships with other agencies that deliver services to infants

and toddlers with handicaps and their families; and the role of the ICC itself. In effect, the development of interagency policy has been a primary concern of this new Council.

As one participant reported, planning groups within some of the individual Departments involved with the ICC are also studying their existing agency policies in light of the requirements of P.L. 99-457. Specific interagency policies will need to be developed through extensive interactions between the interagency unit and the single agencies. As interagency policies are established, single agencies will also need to review their own policies. Making ICC interagency policies congruent with single agencies' policies is characteristic of collaborative interagency efforts that work.

Effective implementation of Part H will require the development of State and local policies that [1] regulate the conditions for distribution of funds; [2] delineate procedures that will guide interagency interactions; [3] delineate common approaches to be used by single agencies in client identification and assessment; [4] define agency eligibility for State and federal support of services; and [5] delineate procedures for resolving interagency conflicts or disagreements. Research on effective collaboration indicates that these policies must have an interagency focus. They must delineate procedures and responsibilities that are acceptable to all agencies involved. The greater the degree of interdependence among single agencies, the more likely that such interagency policies can be established.

Interagency Structure: According to P.L. 99-457, the ICC serves in an advisory role to the Lead Agency. Operationally, there is some confusion among ICC members as to whether the ICC will function as a policy body or in

an advisory capacity. Although the legislation established it as an advisory body to the Lead Agency, the ICC's stipulated responsibility also includes:

> "Subject to the approval of the Governor, the Council may prepare and approve a budget using funds under this part to hire staff, and obtain the services of professional, technical and clerical personnel as may be necessary to carry out its functions under this part" (P.L. 99-457, Part H, Section 682, [d]).

The research on collaboration suggests that unless the ICC functions in a policy role, the motivation and ability of Council members to operate collaboratively will be seriously impaired.

The Part H Project has a full-time staff which includes a project director and five other professional GOC&Y staff members. Given the uncertainty about the functional role of the ICC in this State, the relationship between the Project staff and the ICC is unclear in the minds of some Council members. In successful collaborative arrangements, the new interagency units require staff in order to accomplish their interagency objectives. In effect, the Part H staff are not assigned directly to the ICC; rather they are employees of the Lead Agency. This situation may impair the ICC's ability to become a truly collaborative interagency arrangement.

Research on interagency relationships suggests that a primary issue that will arise with regard to interagency structure is the relationship between the staff assigned to the Part H project and the Interagency Coordinating Council. To the extent that the project director and her staff are viewed as employees of GOC&Y, and concomitantly as not being substantially influenced by the views of the ICC (and, by extension, by the individual agencies represented on the ICC), members of the Council will begin to question their role and impact in the interagency effort. It can also be expected that under such conditions these agency representatives will be under increasing pressure

within their home organizations to protect single agency interests and areas of responsibility.

The major issues pertaining to structure are yet to be addressed by the Interagency Coordinating Council. The interagency structure that is finally adopted by the ICC will depend upon: [1] the selection of the permanent Lead Agency; [2] the nature of relations developed between the Lead Agency and other State Departments and Executive Offices; [3] the role of the Council as it evolves over time; and [4] the relationship between the ICC and the Lead Agency. To the extent that all of these elements evolve in a manner that is congruent with both the interagency objective and the conditions required for collaborative interagency relationships, the interagency structure will be facilitative of goal attainment. If, over time, these elements are not congruent, the ICC will function more like a cooperative or coordinative unit, and its ability to achieve the desired goal will be impaired.

Resources: The Lead Agency has a budget which is comprised of federal planning grant monies and State support. While not obtained from the separate agencies (as is characteristic of collaborative interagency arrangements), these monies have the potential to serve as a resource pool for use by the interagency unit. At the present time, these funds are controlled by the Governor's Office For Children and Youth rather than by the Interagency Coordinating Council. When resources that support an interagency effort belong to the new interagency unit (i.e., the ICC) and are viewed as a collective resource bank, collaborative interagency efforts that work are possible. At the present time, use of resources by the ICC corresponds to the ways that resources are allocated in coordinative interagency arrangements.

The location of, and responsibility for Part H funds (federal, State and local) is likely to emerge as another area of contention as implementation of P.L. 99-457 progresses. Research on collaboration suggests that the extent to which this will be viewed as a problem depends upon the emergent roles of the GOC&Y, the ICC and the Project Staff. Viewing these funds as a "resource pool" subject to ICC control (within the framework, of course, of State policies and regulations governing disbursements) will provide an incentive to collaboration and consensus-building within that interagency unit.

Loyalty: All of the respondents interviewed who had knowledge of the ICC and its activities indicated that there is extensive commitment to the interagency objective. Whether this can be maintained will depend [1] on how the ICC members respond when individual agency prerogatives are challenged; [2] on how policies and budgets are affected; and [3] on the functional role of the Council in relationship to the Lead Agency.

In effect, at this point in time member loyalty is in a state of flux. However, there are indicators that the interagency effort is sometimes placed first. One example is the recent decision to accept GOC&Y as the permanent administrative Lead Agency before decisions were made about the specific future relationship between GOC&Y and the single agencies. Those conditions which result in primary loyalty to the interagency effort appear to be emerging, but it is too soon to know what form they will take.

The research on collaboration suggests that development of loyalty to the interagency objective (a requirement of successful collaborative interagency efforts) is dependent upon agency acceptance of the primacy of the interagency objective. The extent to which loyalty to the interagency effort develops is, in large part, a function of the amount of influence Council

members have on final decisions about interagency plans and activities; the amount of influence that the Council has will depend upon the role the ICC is given with respect to development of those plans. If the ICC role is purely advisory to GOC&Y and if any plans that emerge are determined by GOC&Y based on its own perceptions, needs and biases, interagency loyalty will be difficult or impossible to maintain. In this instance, primary loyalty of ICC members will be to their respective agencies; they will be, therefore, likely to resort to defending their individual agencies (in the case of agency representatives) or their personal biases (in the case of non-agency representatives) instead of the interagency initiative. In such cases, the interagency unit begins to operate through formation of alliances among Council members based on the particular subject under consideration; short-term interests become the prevalent norm and the ability to focus on long-term objectives is lost in political posturing. All of these conditions interfere with collaboration.

Establishing Agreement: There are a number of territorial issues that are likely to emerge throughout the planning and implementation phases of the Interagency Coordinating Council. Procedures need to be established to facilitate resolution of conflicts that might emerge from these issues. As is the case in collaborative interagency efforts, at the present time the ICC is attempting to resolve major issues through development of consensus. While the ICC has representatives from all the major agencies, it also includes members from agencies outside State government and parents. The presence of these individuals provides some balance and serves to diminish the impact of individual agency concerns.

There are a number of important factors that relate to the development of an effective consensus building process in a collaborative interagency arrangement. As the research on collaboration indicates, decisions need to be made early on about what will remain the prerogatives of single Departments and what will be the legitimate concerns of the interagency unit. In addition, member agencies will need to decide what will be appropriate agency contributions to the interagency effort and what procedures will be established to ensure that member agencies receive their fair share of the benefits.

Achievement of these needs will foster the development of trust between the collaborative unit and the individual Departments, as well as among the individual agencies. The development of trust is a necessary activity in establishing and maintaining successful collaborative interagency efforts. At the present time, the ICC is attempting to resolve major issues through development of consensus. This process appears to have worked well with regard to those issues that do not directly involve existing single agency responsibilities, including developing at-risk definitions. For those decisions that require movement toward greater agency interdependence and/or primary attention to interagency concerns, there appear to be some indications that the trust levels which are required for collaboration are not fully developed (See, for example, ICC Minutes, 4/21/88, p. 5).

This is not unusual for a unit that is as new as the ICC. In large part, the extent to which mutual trust develops will depend on the role of the Council as it evolves over time. As several respondents suggested, at this point in time trust issues still need to be addressed: "...agencies seem interested, but then they make their vested interests known" and "...the lead

agency will have to be a neutral agency; there is a lack of trust among the agencies now."

As the research indicates, building the trust within the interagency unit necessary for consensus to operate is a time consuming and difficult task. Like most difficult tasks, the effort is perceived as worthwhile only if there is some reward, in this case influence over decisions; and this influence can occur with certainty only if the ICC's role is enhanced and strengthened. Without such action, representatives of the single agencies may chose to resort to the use of voting and "majority rule" decision making processes, as is characteristic of coordinative interagency efforts. In effect, the ICC will need to devote time and energy to establishing agreed upon procedures for building trust relationships at the same time that it is addressing programmatic concerns. Such investment of time in the development of procedures that can be used to resolve agency disagreements is an important discriminator of successful collaborative interagency efforts.

While it is certainly too soon for the Interagency Coordinating Council to have put all these interagency procedures in place, these factors will influence in a major way the ICC's ability to accomplish its interagency objective collaboratively.

Interagency Decision Making: Interagency unit decisions are being made by the ICC. Interviews indicate that there is extensive commitment to the interagency objective and that the Project staff and ICC members have undertaken responsibility for clarifying issues and facilitating the decision-making process. Whether the needs of the interagency unit will be primary in the decision making process will become clear only after a number of issues which involve individual agency prerogatives have been handled over a period

of time. In order for interagency needs to be viewed as primary, as is the case in collaborative interagency efforts, Council members will have to look beyond short-term individual agency interests and accept what seems reasonable or fair in the long-term. As one respondent noted, "some changes in agency orientations will have to occur."

As planning for implementation of P.L. 99-457 progresses, the amount of information sharing within the ICC and the individual agencies will need to be extensive. This information sharing will necessitate frequent interactions about future plans; collective consideration of implications of policies and procedures; the use of considerable resources; and the use of collective evaluations of practices that are operational.

Personnel Roles: At this point in time, the ICC is engaged in planning activities stipulated in the legislation. Staff currently supporting the work of the ICC are employees of GOC&Y assigned to the federal project. This condition is inconsistent with collaborative interagency arrangements where the staff are assigned directly to the collaborative units.

Individual agency representatives to the ICC and those from outside the agencies have begun to determine how best to move beyond traditional means of accomplishing specific agency missions and to adapt to the requirements of an integrated policy/service responsibility which focuses on the need for consensus-building procedures. For example, the project staff and Council members have already demonstrated an awareness of the need to make decisions based on consensus by deferring a final decision about selection of a Lead Agency until all members agreed.

In this State, a relatively small and close-knit group of individuals have been involved in most State interagency committees over the past decade.

A number of respondents observed that the agency representatives to the ICC are in many cases the same individuals who are now, or have been in the past, members of other State interagency committees. Respondents indicated that "we've been working with this group for a long time" and "the basic thing [about the ICC] is a change in the way we think...[we are] less territorial." These statements suggest that changes in perceptions and behaviors would have to emerge to ensure accomplishment of the collaborative interagency objective. There seems to be a general perception that, most frequently, these individuals are protective of their own agency prerogatives. The operation of the ICC as a true collaborative unit would provide these individuals (or their designees) with the opportunity to shift their roles and to influence the perceptions of others in important ways. If the ICC does not function as a collaborative unit, these individuals will perceive no alternative other than to resort to agency protective behaviors.

As the research on collaboration suggests, the issue in this State focuses on which set of objectives the Part H project Staff perceives itself as carrying out. If they perceive their role as that of carrying out the ICC interagency initiative, then their actions will support the need for the ICC to behave as a collaborative interagency unit and will reinforce the responsibility for that unit to operate for the "general good." On the other hand, if the staff perceives its responsibility to carry out the Lead Agency's objectives, then their behavior will reduce the possibility that implementation of Part H will take place through collaborative processes. At best, the ICC will be reduced to acting as a coordinative unit, which is inconsistent with the demands of the task and will not allow for accomplishment of the interagency objective. What is more likely, however, is

that the ICC will become a superfluous unit and that the Lead Agency will then operate as both policy maker and administrator of Part H.

In effect, at this moment in time, the roles of personnel associated with the ICC approximates behaviors of personnel involved in coordinative interagency efforts. This issue will need to be addressed before it becomes a serious impediment to the ICC's ability to accomplish its interagency objective collaboratively.

Summary

The ICC is only nine months old and is working with the Lead Agency on planning for implementation of Part H of P.L. 99-457 in 1992. The objective for which it is responsible clearly requires a collaborative interagency effort. ***At this point in time, the ICC appears to be developing those organizational conditions and interpersonal relationships which will enable collaboration to occur. Continued attention to those characteristics which will lead to collaboration is needed.*** As the unit matures (in terms of length of operation), the specific needs that will have to be satisfied to ensure collaboration will become more evident.

Among those specific needs will be the refinement of the role of the ICC. The legislation clearly establishes the ICC as an advisory board to the Lead Agency. At the present time some of the members view the Council as a policy body. The research on collaboration indicates that commitment to the interagency objective and the ability to resolve territorial issues through consensus are most likely to develop when the interagency unit acts in a policy role. In the event that the Lead Agency acts in disregard of, or without the support of the ICC, both commitment to the interagency objective and ability to develop consensus over difficult issues would be impaired.

In the State under study, decisions about who develops these policies will be influenced by the roles which emerge for the Lead Agency (GOC&Y), the major service agencies (SDE, DHMH, and DHR) and the Interagency Coordinating Council (ICC). For the past two years, the Council has been operating primarily as if it was a policy-making body. The GOC&Y Part H Project Director has encouraged this role by working through the ICC to achieve the requirements of the federal planning grant.

With few exceptions, persons interviewed agreed that resource allocation will be one of the most critical issues impacting on the State's ability to implement Part H successfully. The scope and breadth of services moves far beyond the current capacities of State and local agencies. The ICC has not, according to respondents, developed and/or approved the total budget for Part H funds and State supplemental dollars. Moreover, decisions about budgetary authority will be a key factor in the delineation of the respective roles of the Lead Agency and the Council. As noted before, preparation and approval of the budget for Part H funds could, according to the legislation, become the responsibility of the Lead Agency and/or the ICC with the Governor's approval. As the research suggests, the possibility of collaboration increases when a pool of resources is established for use in accomplishing the interagency objective.

To date, the Council has demonstrated an ability to reach consensus about issues that are not specifically related to agency prerogatives (i.e., definitions, training issues, RFPs) and has already achieved consensus on one major issue, i.e., determination of a permanent Lead Agency before all details had been worked out related to the roles of each of the agencies. Even though some concerns were expressed by Council members about these "unknowns," the

fact that the Lead Agency was approved indicates that a reasonable degree of trust is beginning to emerge. It is this trust which, in the long run, will enable consensus to occur in attempts to resolve the difficult issues which affect individual agency prerogatives over the next few planning years and into the implementation period.

As has been noted early in this report, the policy role for the ICC is necessary if collaboration is to occur in the future. The reason that this issue is being treated at length is that there are some very minor indications which lead to the possibility that, as the planning period approaches the end, and implementation occurs, the intent is to shift the ICC into more of an advisory role and for GOC&Y to assume the policy making function relative to State implementation of P.L. 99-457. Such a shift is clearly consistent with the legislation which establishes the ICC as an advisory body; the problem is that it is inconsistent with establishment of an interagency effort based on collaboration. If the policy making initiative remains with the ICC, then almost all the needed interagency policies will be deliberated, and finalized through consensus. By extension, policy initiatives within the individual agencies are likely to reflect the need to accommodate these ICC policies.

In the final analysis the role of the Interagency Coordinating Council as it emerges over time and as a result of regulation will be a critical factor in determining the extent to which collaboration is possible in achieving the objectives of P.L. 99-457.

Figure 4 below presents a profile of the interagency features of the Interagency Coordinating Council:

Figure 4

Profile Of The Interagency Coordinating Council

Features	Degree of Interdependence		
	COOPERATION	COORDINATION	COLLABORATION
OBJECTIVE			X
POLICY			X
STRUCTURE		X	
RESOURCES		X	
LOYALTY			X*
AGREEMENT			X
DECISION MAKING			X*
PERSONNEL ROLES		X	

* Cannot be determined at this time. Refer to text for discussion.

IMPLICATIONS FOR PART H INTERAGENCY EFFORTS

State-wide interagency planning and actions are in some ways analogous to fitting the pieces of a jigsaw puzzle together. If pieces of the puzzle do not fit, or are missing, it cannot be solved no matter how many creative attempts are made to fit the remaining pieces together. The organizational pieces of the Part H "puzzle" are now being put in place at federal, State and local levels of government. The legislation includes guidelines about these organizational issues for States who receive Part H dollars; the regulations will need to further specify some of these issues. In brief, States are

required [1] to assign responsibility for administration of the federal planning grant to a lead agency, and [2] to appoint an interagency coordinating council to advise and assist the lead agency with the conduct of grant activities.

As is the case with other federal programs, the States will use their own monies to support the development of Part H services, and as implementation proceeds local jurisdictions will also be supporting the programs that will evolve. States are really free in these early stages to make fairly substantive decisions about the nature of interagency arrangements and about the substance of the integrated service delivery system that will be put into place in their jurisdictions. The issues to be addressed are much too complex to suggest simple solutions. In each State, policy makers and program people involved in planning for implementation of Part H are presently developing responses to its challenge.

In the case of State interagency planning, there are a number of early decisions to be made that will importantly influence success of their Part H programs. The issues that have emerged from stage one of this study have important implications for State agencies involved in interagency planning for implementation of Part H of P.L. 99-457. A number of these issues are identified below, along with a discussion of their relevance to this research and their implications for Part H. Upon completion of stage two of the study, the implications of additional emerging issues should become clearer. They will be reported and discussed in the final report.

***ISSUE:* Collaboration is not always an appropriate interagency strategy. More often than not either a cooperative or coordinative effort will suffice to accomplish a particular interagency objective.**

Cooperation, coordination and collaboration are all appropriate interagency approaches to accomplishing different kinds of interagency objectives. They represent interorganizational arrangements with increasing amounts of interdependence among the involved single agencies. The broader and more complex the interagency objective, the more agency interdependence required. In the State under study, the SCC functions well using a coordinative strategy, whereas the IPCC required the use of a collaborative strategy.

As described earlier in this report, interagency efforts are characterized by the following organizational features: [1] interagency objective; [2] interagency policy; [3] interagency structure; [4] resources; [5] loyalty to the interagency effort; [6] establishing agreement; [7] decision making; and [8] personnel roles. These features are distinctly different for cooperation, coordination and collaboration.

In effect interagency efforts are not "natural." Agencies are designed to function autonomously and typically devote a great deal of energy to enhancing their agency resources and responsibilities. Working collectively involves making changes in some existing operating procedures in the single agencies. The more interdependent an interagency relationship becomes, the more change will be required. Therefore, collaboration is the most difficult interagency strategy to accomplish and should be used only when the interagency objective requires it.

Establishing collaborative interorganizational arrangements is a real challenge for State governmental agencies. Collaboration must be accomplished in a policy environment that is extremely susceptible to external political influences, and maximally dependent upon legislative decisions about resource allocations. In addition to the implied changes in single agencies' modus operandi, collaboration requires a major commitment of agency resources, as well as of time and energy of agency personnel.

However, fulfillment of the objectives of Part H of P.L. 99-457 requires the use of a collaborative interagency strategy. Infants and toddlers with handicaps and their families do not fall into the cachement area of any of the existing State agencies. Therefore, agencies need to address issues that range from point of entry into the service delivery system, to development of common eligibility and intake systems, to the creation of a continuum of early intervention services that address the needs of this clientele. Decisions of this nature, as well as the development of means to implement them, will require a major commitment on the part of single agencies to work together. The interagency councils mandated in the legislation are likely to be important vehicles through which decisions about integration of services will be made by participating agencies. Agency commitment to this interagency effort will be determined in large part by the extent to which each agency is able to influence interagency policy decisions; collaboration enables such influence.

IMPLICATION: State Part H interagency councils will need to be configured as collaborative interagency efforts.

ISSUE: Successful interagency efforts are dependent on the extent to which planners create organizational conditions and develop interpersonal relationships suitable to accomplish the interagency objectives.

Mandating interagency activities does not in and of itself cause effective integration of services by State agencies. In this study, State agency involvement in the three Interagency Committees was mandated by legislation and/or executive order. Yet each Committee experienced different degrees of success in integrating services for targeted populations and different problems in addressing interagency issues. For example, the SCC's interagency objective of residential placement is being satisfactorily met using an almost "classic" coordinative interagency arrangement. Council members deliberately structured a number of activities that resulted in creation of those conditions necessary to accomplish the interagency objective. On the other hand, the IPCC was given a broad mandate of streamlining services for children with special needs; this interagency objective required the development of a collaborative interagency arrangement. However, to date the Committee has not established those organizational conditions that support the accomplishment of its complex objective and the IPCC has become relatively inactive.

Success levels for each of these interagency efforts can be traced to the extent to which planners created the organizational conditions and interpersonal relationships suitable for the particular interagency objective that was to be accomplished. Establishing written agreements is not sufficient for ensuring interagency planning and actions. Agencies must devote much attention to creating appropriate conditions within which the

interagency objective can be accomplished. At the same time, policy makers must provide adequate resources to support the interagency effort.

Interagency councils established for planning and implementation of Part H will need to devote considerable energy and attention early on to creating conditions suitable to accomplish the broad mandate. The primary objective of Part H is the implementation of a coordinated multi-disciplinary statewide system of early intervention services for infants and toddlers with handicaps and their families. This interagency objective can only be accomplished by using a collaborative interagency arrangement. In fact, implementation of Part H will require a greater degree of agency interdependence than has typically been present in State interagency activities.

Extensive interagency planning and policy development at the State level will be required to implement this objective at the local level Within the State, provisions for family training, counseling and home visits, related services, case management services, medical services for diagnostic or evaluation purposes, early identification, screening and assessment services, and health services necessary to provide benefits from early intervention services will require resources and support from the three major State service agencies [SDE, DHMH, and DHR] involved in coordinating and providing services for infants and toddlers with handicaps and their families. Also, the Lead Agency and the ICC will need to develop those organizational conditions and interpersonal relationships that lead to successful interagency collaboration.

IMPLICATION: **State Part H planners will need to devote immediate attention to the creation of organizational conditions that foster successful interagency collaboration at the same time as they address more substantive program issues.**

***ISSUE:** Effective State interagency committees have the authority to make policy decisions about the interagency effort. Confining the committee to an advisory role seriously impairs its ability to plan and develop integrated service delivery systems.*

State interagency councils are usually assigned tasks that require the development of interagency policies which provide guidelines and assign responsibilities for the work. The interagency tasks are then performed by both the new unit and existing State agencies working in tandem. In addition, because of the administrative structure of State governments, an existing State agency or office is usually assigned responsibility for overseeing the budget, hiring staff and other necessary administrative duties. Inevitably, a complex set of relationships develops between and among involved agencies, units and personnel as the interagency objective is planned and implemented.

As these relationships evolve, single agency concerns and prerogatives need to be balanced against accomplishment of the interagency initiative. As work progresses, there will be a need to make decisions about a wide array of issues; these decisions will have major consequences for both the interagency effort and the involved single agencies. Council members and the lead agency will need to establish acceptable procedures for making policy decisions; in collaborative interagency efforts, authority for making these decisions is assigned to the interorganizational unit.

Agencies must determine what issues will remain the responsibility of the single agencies and what issues will be perceived as appropriate concerns of the interagency effort. Developing consensus around these issues allows agencies to become committed to the interagency effort and consequently to demonstrate loyalty to achievement of the interagency objective. The greater the degree of agency interdependence, the greater the need to address issues

related to authority and control in the early stages of the interagency activity. However, these issues cannot be successfully resolved unless the interagency council has the authority to make these policy decisions. Single agency willingness to assign such policy authority to the interagency council is dependent upon the trust that develops in the interorganizational relationship.

In the State under study, agency commitment to an interagency effort was often determined by the extent to which their representatives were authorized to make interagency policy decisions. The State Coordinating Council clearly functions as a policy board wherein single agency decisions about residential placements (both substance and costs) are the Council's responsibility. Members of the Council attribute success in large part to this policy making role. On the other hand, a major obstacle to getting the Interagency Planning Committee for Children "off the ground" was its inability to make policy decisions on behalf of its single agency members about the development of an integrated service delivery system for children with special needs. Neither the single agencies nor the Governor's office assigned the IPCC the authority it needed to institute activities that would have contributed to accomplishing the interagency objective.

The Part H Interagency Coordinating Council is now confronting these issues. The roles and relationships between and among the major actors are currently being worked out. This will involve fully defining the role of the ICC, the roles of the major State service agencies, the role of the Lead Agency (GOC&Y) and the relationship between the Lead Agency and the ICC. (The role of the Lead Agency and its relationship to the ICC are addressed in later sections of this report.) At this moment in time, the ICC has been assigned

an advisory role to the Lead Agency, even though Lead Agency personnel are behaving as though the Council does have policy authority. There appears to be a tacit understanding that operations can best proceed when policy direction is shared with the Council, wherein single agency needs and concerns are being juxtaposed against the needs of the interagency effort and consensus among single agency participants is being built prior to making final decisions about selected interagency policies.

This situation is very informal and in these very early stages of State Part H planning appears to be working well. However, there are already minor indications that this informal role will not suffice. As policy decisions begin to more deeply affect single agencies' interests and prerogatives, a more formal assignment of policy authority will need to be made. The need to resolve these issues is likely to occur in the very near future as involved parties begin to delineate specific responsibilities associated with the Council's Lead Agency recommendation. It is suggested that the Lead Agency and Council follow their own instincts, and formally establish the role of the ICC as a policy board. This is a fundamental requirement of successful collaborative interagency efforts.

IMPLICATION: Part H interagency councils should be assigned a policy role in the development of State wide coordinated systems of early intervention services for infants and toddlers with handicaps and their families.

ISSUE: ***When implementation of legislation requires considerable agency interdependence, selection of a lead agency is of primary importance and should include an assessment of that agency's capacity and willingness to facilitate State-wide interagency planning and actions.***

In essence, the lead agency has a pivotal role in enabling State interagency planning and actions to become collaborative. As conceptualized in the legislation, the lead agency has authority for making policy and budgetary decisions relative to planning for implementation of Part H. As already indicated, such planning requires a great degree of agency interdependence, primarily because the interagency objective can most appropriately be accomplished using a collaborative interagency effort. Assignment of State planning responsibility, then, to any single existing State agency has the potential to seriously inhibit collaboration unless appropriate relationships are established among the lead agency, involved single agencies and the interagency coordinating council.

In effect, additional constraints to interorganizational collaboration are inherent in making any existing State agency the Part H lead agency. First, the lead agency must have the capacity and willingness to function as a "neutral" organization in the context of the Part H effort. At best, the unit within the lead agency with responsibility for administering the Part H grant will need to be able to function relatively autonomously from its home organization. The challenge will be to convince other involved State agencies that the unit is working primarily in the interests of the interagency effort and secondarily in its own organization's interests. Moreover, it is highly unlikely that any sub-unit in a large governmental agency could feasibly function this independently.

Furthermore, the wide range of services required by the targeted population of infants and toddlers with handicaps and their families suggests that almost any one of a State's major service agencies and executive offices (in the State under study, GOC&Y, SDE, DHMH or DHR) could appropriately be selected to fulfill the lead agency role. Agencies have, in effect, lobbied within their States for assignment as Part H lead agency. Ironically, the reasons most frequently offered by single agencies for this assignment center around why each is uniquely suited to that role. This argument, of course, contradicts the major premise of the Part H collaborative initiative that suggests that the resources, energies and skills of all of the service agencies (as well as parents and private providers) are required to successfully accomplish the interagency objective. No single agency can "go it alone."

Lead agency status assigned to an existing major State agency provides it with the opportunity to increase staff and influence, have control over a considerable amount of funds, and to realign relationships between and among the service agencies. Under such circumstances, it would be expected that the agency representatives to the Council, as well as the agencies themselves, would reduce their commitment to the collaborative effort, in order to protect themselves from the intrusiveness of the lead agency. As this protective orientation emerges, it is very likely that there will be a shift from focussing on the "general good" to imposing individual agency positions that make agency self-interest the primary motivator of these interagency actions. This is inconsistent with collaborative interagency efforts.

In point of fact, the Lead Agency in the State under study is operating as best it can given the constraints inherent in the assignment of that role to an existing State agency. Because it is beginning to establish those conditions and procedures necessary for effective collaborative interagency efforts, it is at least initially overcoming those constraints. Assignment of the Lead Agency in this State was not to one of the major service agencies; it is expected that such a selection will address some of the issues addressed above. It is, at this point in time, too soon to determine whether or not GOC&Y will be able to continue to overcome these constraints --not because of an unwillingness on the part of the Part H staff, but rather because it is in fact an existing State agency with its own agenda and initiatives.

It is suggested that a logical extension of the need to assign a policy role to the interagency coordinating council is to also assign to the council the policy and budgetary functions that are now the responsibility of the lead agency. Part H Project staff would then be hired by the council and would be held responsible to the interagency unit for the work it is assigned. Creating this shift in the role of an interagency council would immeasurably strengthen a State's capacity to successfully accomplish the Part H interagency objective collaboratively.

IMPLICATION: State lead agency responsibility should be assigned directly to the Part H interagency council. By extension, federal Part H planning grants should be administered by the council.

BEST COPY AVAILABLE

ISSUE: The effectiveness of State interagency planning and actions is largely dependent upon the development of appropriate relationships between Part H interagency councils and the lead agencies in each State.

While it is clear that the ability of States to create comprehensive integrated early intervention services for infants and toddlers with handicaps and their families would be immeasurably strengthened by the appointment of the interagency council as the lead agency, responsibility in most States rests with one of the existing service agencies. In such instances, effective implementation of Part H will be largely dependent upon establishing appropriate facilitative relationships between the lead agency and the interagency council. Making such connections is at present one of the missing pieces in the Part H "jigsaw puzzle."

In the State under study, these relationships are only just being defined, and the scenarios for future success are very different depending on the nature of the relationships that do get established. The interagency council is the embodiment of the single agencies and major actors that will be involved in Part H programs. In effect, Council members represent their home agencies in the development of the interagency plans. In order to make a serious commitment to the work of the Council, agency representatives (and by extension, their agencies as well) must feel that they are allowed meaningful involvement in the planning activities. Such involvement requires the ability to make, or contribute to making policy decisions about the interagency issues under consideration. In situations where lead agency responsibility has been assigned to a single service agency, the lead agency will need to share its policy authority with the Council if collaboration is to occur.

The interagency unit can make decisions, and place the interagency needs in a primary position, only if it has the formal authority to do so. As the legislation is currently written, and unless supporting regulations modify its intent, the lead agency has little obligation to assign a shared decision making role to the interagency council. However, the interagency objective requires the use of shared decision making processes if it is to be accomplished successfully. Consensus must be reached around policy decisions if resistance at implementation time is to be avoided.

In the State under study, the Lead Agency may decide to retain its policy authority. In the event that this occurs, the ICC will be confronted with the same dilemma that the State's Interagency Planning Committee for Children (IPCC) found itself in with regard to its objective of improving services for special needs children through interagency coordination; that is, the organizational conditions and interpersonal relationships of the interagency unit will be inconsistent with the demands of the interagency objective. Lack of attention to restructuring the relationship between GOC&Y, the ICC and Project staff will result in increasing emphasis on individual agency priorities and a reduction in frequency of ICC meetings to the required minimum of four times a year in order to avoid the conflicts which will inevitably occur in those sessions.

The development of trust relationships between the lead agency, Part H project staff and the council, and between the council and its member agencies, will not just happen. Rather, careful attention must be paid in the early stages of the collaborative enterprise to specifically delineating those relationships and to gaining consensus about what will be each one's role and responsibilities. These agreements must be acceptable to all involved parties

if collaboration is to occur. Trust will most likely be dependent upon the willingness of the lead agency to share its policy authority with the interagency council. Although policy decisions would be shared, responsibility for administration of the Part H planning grant would rest with the lead agency and project staff would support council activities but report to the lead agency.

IMPLICATION: Establishing a lead agency other than the council enhances the difficulties of creating conditions for collaboration. In such cases, the relationship between the lead agency and the Part H interagency council must be clearly delineated. The likelihood of conflict between the lead agency and the council will be reduced if policy making authority is shared by the lead agency and the council.

ISSUE: The nature of State interagency planning and actions will influence the effectiveness of Part H interagency activities in local jurisdictions.

Earlier in this report, accessibility was defined as ease of determining and obtaining appropriate services. With some exceptions, the test of accessibility will be at the local level where most services are delivered. However, whether or not local jurisdictions provide accessible services to infants and toddlers with handicaps and their families will be dependent on the extent to which the relevant agencies at the State level provide the policies, mechanisms and support which would make accessibility a reality.

Delivery of services to infants and toddlers with handicaps will be accomplished by the development of an Individualized Family Service Plan (IFSP) for each client. The scope of the IFSP is delineated in the legislation; the plan represents "a multi-disciplinary assessment of unique needs and the identification of services appropriate to meet such needs" (P.L. 99-457, Part H, Section 677 [1]). With respect to Part H, accessibility will be determined by the extent to which it [1] is truly a multi-disciplinary effort; [2] insures rapid access to needed services; [3] facilitates rapid approval for financial support; [4] provides for follow up and monitoring; and [5] is facilitated by an assigned case manager.

For the IFSP to be truly multi-disciplinary, the personnel from the various agencies will have to jointly assess, discuss and develop each IFSP. Meeting the needs of infants and toddlers with handicaps and their families will necessitate a degree of interagency accommodation and sharing that is not commonly found. Joint planning for family visitation, agreements about what information is required before a visitation as well as the significance of that information, and some degree of consensus about appropriate designation of a case manager are only a few of the decisions that will require consensus if service delivery is to work.

For this process to work, attention must be paid to identifying those Part H interagency initiatives of State service agencies that will most likely foster these behaviors at the local level. State service agencies and involved executive offices have the opportunity to influence local level service delivery by the nature of State regulations associated with "pass through" monies and with State grants to local jurisdictions. In addition, involved State agencies will need to serve as a model for their local

counterparts with regard to the ways in which they work together to deal with issues posed by implementation of Part H.

In effect, it is unlikely that collaborative interagency planning for Part H will occur in local jurisdictions apart from the provision of appropriate policy direction by involved State agencies. Such collaboration is essential if services to the client population are to be accessible and if a community-based integrated service delivery system is to be made available to infants and toddlers with handicaps and their families. As this study proceeds at the local level during the coming months, numerous issues about implementation of Part H and State/local relationships will be examined. An analysis of these issues will be in the final report.

IMPLICATION: The ways in which State interagency efforts can influence accessibility of services at the local level need to be defined early on and made an integral part of the State Part H planning process.

REFERENCES

Executive Order 01.01.1982.09 Amending Executive Order 01.01.1978.07 giving authority to State Coordinating Council for Residential Placements.

House Report 99-860. Report Accompanying The Education Of The Handicapped Act Amendments of 1986, September 22, 1986.

Intensive Family Services; A Family Preservation Service Delivery Model. [State] Department of Human Resources, S.S.A., 1987.

ICC Minutes, 4/21/88. Prepared by the Governor's Office For Children And Youth for the Interagency Coordinating Council Meeting, April 21, 1988.

Interagency Plan For Children With Special Needs. Prepared by the State of [State], Department of Human Resources, Department of Health and Mental Hygiene, State Department of Education, Governor's Office For Children And Youth and State Coordinating Council, January 1986.

LEAD Agency Options Paper. Prepared by the Lead Agency Task Force, Interagency Coordinating Council, [no date].

Progress Report: Interagency Plan For Children With Special Needs, Prepared by the State of [State], Department of Human Resources, Department of Health and Mental Hygiene, State Department of Education. Governor's Office For Children And Youth and State Coordinating Council, March 1987.

P.L. 99-457, The Education Of The Handicapped Act Amendments of 1986, October 1986.

Serving Children With Special Needs; [State's] Evolving System. Report prepared by the Department of Health and Mental Hygiene, the Department of Human Resources, the Juvenile Services Agency and the State Department of Education, April 29, 1988.